Form **990-PF**

Department of the Treasury
Internal Revenue Service

# Return of Private Foundation
## or Section 4947(a)(1) Nonexempt Charitable Trust Treated as a Private Foundation

**Note.** The foundation may be able to use a copy of this return to satisfy state reporting requirements.

OMB No 1545-0052

**2010**

**For calendar year 2010, or tax year beginning** DEC 1, 2010 **, and ending** NOV 30, 2011

G Check all that apply: ☐ Initial return ☐ Initial return of a former public charity ☐ Final return
☐ Amended return ☐ Address change ☐ Name change

Name of foundation
THE GOLDRICH FAMILY FOUNDATION

**A Employer identification number**
95-4155986

Number and street (or P O box number if mail is not delivered to street address)
5150 OVERLAND AVENUE

Room/suite

B Telephone number
(310)204-2050

City or town, state, and ZIP code
CULVER CITY, CA 90230

C If exemption application is pending, check here ▶ ☐

D 1. Foreign organizations, check here ▶ ☐
2. Foreign organizations meeting the 85% test, check here and attach computation ▶ ☐

H Check type of organization: ☒ Section 501(c)(3) exempt private foundation
☐ Section 4947(a)(1) nonexempt charitable trust ☐ Other taxable private foundation

E If private foundation status was terminated under section 507(b)(1)(A), check here ▶ ☐

I Fair market value of all assets at end of year *(from Part II, col (c), line 16)* ▶$ 83,022,224.

J Accounting method: ☒ Cash ☐ Accrual
☐ Other (specify)
*(Part I, column (d) must be on cash basis.)*

F If the foundation is in a 60-month termination under section 507(b)(1)(B), check here ▶ ☐

**Part I** **Analysis of Revenue and Expenses** (The total of amounts in columns (b), (c), and (d) may not necessarily equal the amounts in column (a))

| | | | (a) Revenue and expenses per books | (b) Net investment income | (c) Adjusted net income | (d) Disbursements for charitable purposes (cash basis only) |
|---|---|---|---|---|---|---|
| Revenue | 1 | Contributions, gifts, grants, etc., received | 5,000,000. | | N/A | |
| | 2 | Check ▶ ☐ if the foundation is not required to attach Sch B | | | | |
| | 3 | Interest on savings and temporary cash investments | 33,477. | 33,477. | | STATEMENT 1 |
| | 4 | Dividends and interest from securities | 2,804,528. | 2,804,528. | | STATEMENT 2 |
| | 5a | Gross rents | | | | |
| | b | Net rental income or (loss) | | | | |
| | 6a | Net gain or (loss) from sale of assets not on line 10 | 2,096,007. | | | |
| | b | Gross sales price for all assets on line 6a 38,692,358. | | | | |
| | 7 | Capital gain net income (from Part IV, line 2) | | 2,096,007. | | |
| | 8 | Net short-term capital gain | | | | |
| | 9 | Income modifications | | | | |
| | 10a | Gross sales less returns and allowances | | | | |
| | b | Less Cost of goods sold | | | | |
| | c | Gross profit or (loss) | | | | |
| | 11 | Other income | 116,655. | 116,655. | | STATEMENT 3 |
| | 12 | **Total.** Add lines 1 through 11 | 10,050,667. | 5,050,667. | | |
| Operating and Administrative Expenses | 13 | Compensation of officers, directors, trustees, etc | 0. | 0. | | 0. |
| | 14 | Other employee salaries and wages | | | | |
| | 15 | Pension plans, employee benefits | | | | |
| | 16a | Legal fees | | | | |
| | b | Accounting fees STMT 4 | 16,847. | 0. | | 16,847. |
| | c | Other professional fees | | | | |
| | 17 | Interest | 8,252. | 8,252. | | 0. |
| | 18 | Taxes STMT 5 | 141,683. | 14,291. | | 0. |
| | 19 | Depreciation and depletion | | | | |
| | 20 | Occupancy | | | | |
| | 21 | Travel, conferences, and meetings | | | | |
| | 22 | Printing and publications | | | | |
| | 23 | Other expenses STMT 6 | 405,693. | 403,199. | | 225. |
| | 24 | **Total operating and administrative expenses.** Add lines 13 through 23 | 572,475. | 425,742. | | 17,072. |
| | 25 | Contributions, gifts, grants paid | 3,539,064. | | | 3,539,064. |
| | 26 | **Total expenses and disbursements.** Add lines 24 and 25 | 4,111,539. | 425,742. | | 3,556,136. |
| | 27 | Subtract line 26 from line 12: | | | | |
| | a | Excess of revenue over expenses and disbursements | 5,939,128. | | | |
| | b | **Net investment income** (if negative, enter -0-) | | 4,624,925. | | |
| | c | **Adjusted net income** (if negative, enter -0-) | | | N/A | |

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## Part II Balance Sheets

Attached schedules and amounts in the description column should be for end-of-year amounts only

| | | | Beginning of year | End of year | |
|---|---|---|---|---|---|
| | | | (a) Book Value | (b) Book Value | (c) Fair Market Value |
| Assets | 1 | Cash - non-interest-bearing | | | |
| | 2 | Savings and temporary cash investments | 2,284,654. | 6,128,953. | 6,128,953. |
| | 3 | Accounts receivable ▶<br>Less: allowance for doubtful accounts ▶ | | | |
| | 4 | Pledges receivable ▶<br>Less: allowance for doubtful accounts ▶ | | | |
| | 5 | Grants receivable | | | |
| | 6 | Receivables due from officers, directors, trustees, and other disqualified persons | | | |
| | 7 | Other notes and loans receivable ▶ 454,927.<br>Less: allowance for doubtful accounts ▶ 0. | 400,000. | 454,927. | 454,927. |
| | 8 | Inventories for sale or use | | | |
| | 9 | Prepaid expenses and deferred charges | | | |
| | 10a | Investments - U.S. and state government obligations STMT 7 | 17,170,785. | 10,183,643. | 10,780,038. |
| | b | Investments - corporate stock STMT 8 | 9,821,077. | 18,730,037. | 19,364,902. |
| | c | Investments - corporate bonds STMT 9 | 9,279,920. | 6,139,113. | 6,406,639. |
| | 11 | Investments - land, buildings, and equipment basis ▶<br>Less accumulated depreciation ▶ | | | |
| | 12 | Investments - mortgage loans | | | |
| | 13 | Investments - other STMT 10 | 34,230,510. | 37,489,401. | 39,886,765. |
| | 14 | Land, buildings, and equipment: basis ▶<br>Less accumulated depreciation ▶ | | | |
| | 15 | Other assets (describe ▶ ) | | | |
| | 16 | **Total assets** (to be completed by all filers) | 73,186,946. | 79,126,074. | 83,022,224. |
| Liabilities | 17 | Accounts payable and accrued expenses | | | |
| | 18 | Grants payable | | | |
| | 19 | Deferred revenue | | | |
| | 20 | Loans from officers, directors, trustees, and other disqualified persons | | | |
| | 21 | Mortgages and other notes payable | | | |
| | 22 | Other liabilities (describe ▶ ) | | | |
| | 23 | **Total liabilities** (add lines 17 through 22) | 0. | 0. | |
| Net Assets or Fund Balances | | **Foundations that follow SFAS 117, check here ▶ ☐ and complete lines 24 through 26 and lines 30 and 31.** | | | |
| | 24 | Unrestricted | | | |
| | 25 | Temporarily restricted | | | |
| | 26 | Permanently restricted | | | |
| | | **Foundations that do not follow SFAS 117, check here ▶ ☒ and complete lines 27 through 31.** | | | |
| | 27 | Capital stock, trust principal, or current funds | 0. | 0. | |
| | 28 | Paid-in or capital surplus, or land, bldg., and equipment fund | 0. | 0. | |
| | 29 | Retained earnings, accumulated income, endowment, or other funds | 73,186,946. | 79,126,074. | |
| | 30 | **Total net assets or fund balances** | 73,186,946. | 79,126,074. | |
| | 31 | **Total liabilities and net assets/fund balances** | 73,186,946. | 79,126,074. | |

## Part III Analysis of Changes in Net Assets or Fund Balances

| | | | |
|---|---|---|---|
| 1 | Total net assets or fund balances at beginning of year - Part II, column (a), line 30 (must agree with end-of-year figure reported on prior year's return) | 1 | 73,186,946. |
| 2 | Enter amount from Part I, line 27a | 2 | 5,939,128. |
| 3 | Other increases not included in line 2 (itemize) ▶ | 3 | 0. |
| 4 | Add lines 1, 2, and 3 | 4 | 79,126,074. |
| 5 | Decreases not included in line 2 (itemize) ▶ | 5 | 0. |
| 6 | Total net assets or fund balances at end of year (line 4 minus line 5) - Part II, column (b), line 30 | 6 | 79,126,074. |

## Part IV Capital Gains and Losses for Tax on Investment Income

| | (a) List and describe the kind(s) of property sold (e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co.) | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | | | | |
| b | SEE ATTACHED STATEMENTS | | | |
| c | | | | |
| d | | | | |
| e | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | 38,692,358. | | 36,596,351. | 2,096,007. |

Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69

| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | (l) Gains (Col. (h) gain minus col. (k), but not less than -0-) or Losses (from col. (h)) |
|---|---|---|---|---|
| a | | | | |
| b | | | | |
| c | | | | |
| d | | | | |
| e | | | | 2,096,007. |

2 Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter -0- in Part I, line 7 } 2 2,096,007.

3 Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter -0- in Part I, line 8 } 3 N/A

## Part V Qualification Under Section 4940(e) for Reduced Tax on Net Investment Income

(For optional use by domestic private foundations subject to the section 4940(a) tax on net investment income.)

If section 4940(d)(2) applies, leave this part blank.

Was the foundation liable for the section 4942 tax on the distributable amount of any year in the base period? ☐ Yes ☒ No

If "Yes," the foundation does not qualify under section 4940(e). Do not complete this part.

1 Enter the appropriate amount in each column for each year; see instructions before making any entries.

| (a) Base period years Calendar year (or tax year beginning in) | (b) Adjusted qualifying distributions | (c) Net value of noncharitable-use assets | (d) Distribution ratio (col. (b) divided by col. (c)) |
|---|---|---|---|
| 2009 | 3,052,018. | 75,714,243. | .040310 |
| 2008 | 3,115,509. | 63,039,889. | .049421 |
| 2007 | 2,808,909. | 62,217,376. | .045147 |
| 2006 | 2,249,212. | 63,986,290. | .035151 |
| 2005 | 1,905,535. | 55,308,000. | .034453 |

| | | | |
|---|---|---|---|
| 2 | **Total** of line 1, column (d) | 2 | .204482 |
| 3 | Average distribution ratio for the 5-year base period - divide the total on line 2 by 5, or by the number of years the foundation has been in existence if less than 5 years | 3 | .040896 |
| 4 | Enter the net value of noncharitable-use assets for 2010 from Part X, line 5 | 4 | 84,531,808. |
| 5 | Multiply line 4 by line 3 | 5 | 3,457,013. |
| 6 | Enter 1% of net investment income (1% of Part I, line 27b) | 6 | 46,249. |
| 7 | Add lines 5 and 6 | 7 | 3,503,262. |
| 8 | Enter qualifying distributions from Part XII, line 4 | 8 | 3,556,136. |

If line 8 is equal to or greater than line 7, check the box in Part VI, line 1b, and complete that part using a 1% tax rate. See the Part VI instructions.

## Part VI . Excise Tax Based on Investment Income (Section 4940(a), 4940(b), 4940(e), or 4948 - see instructions)

| | | | | | |
|---|---|---|---|---|---|
| 1a | Exempt operating foundations described in section 4940(d)(2), check here ▶ ☐ and enter "N/A" on line 1.<br>Date of ruling or determination letter: ________ **(attach copy of letter if necessary-see instructions)** | | | | |
| b | Domestic foundations that meet the section 4940(e) requirements in Part V, check here ▶ ☒ and enter 1% of Part I, line 27b | | | 1 | 46,249. |
| c | All other domestic foundations enter 2% of line 27b. Exempt foreign organizations enter 4% of Part I, line 12, col. (b). | | | | |
| 2 | Tax under section 511 (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 2 | 0. |
| 3 | Add lines 1 and 2 | | | 3 | 46,249. |
| 4 | Subtitle A (income) tax (domestic section 4947(a)(1) trusts and taxable foundations only. Others enter -0-) | | | 4 | 0. |
| 5 | **Tax based on investment income.** Subtract line 4 from line 3. If zero or less, enter -0- | | | 5 | 46,249. |
| 6 | Credits/Payments: | | | | |
| a | 2010 estimated tax payments and 2009 overpayment credited to 2010 | 6a | 100,000. | | |
| b | Exempt foreign organizations - tax withheld at source | 6b | | | |
| c | Tax paid with application for extension of time to file (Form 8868) | 6c | | | |
| d | Backup withholding erroneously withheld | 6d | 67. | | |
| 7 | Total credits and payments. Add lines 6a through 6d | | | 7 | 100,067. |
| 8 | Enter any **penalty** for underpayment of estimated tax. Check here ☒ if Form 2220 is attached | | | 8 | 574. |
| 9 | **Tax due.** If the total of lines 5 and 8 is more than line 7, enter **amount owed** ▶ | | | 9 | |
| 10 | **Overpayment.** If line 7 is more than the total of lines 5 and 8, enter the **amount overpaid** ▶ | | | 10 | 53,244. |
| 11 | Enter the amount of line 10 to be: **Credited to 2011 estimated tax** ▶ | 53,244. | **Refunded** ▶ | 11 | 0. |

## Part VII-A Statements Regarding Activities

| | | | Yes | No |
|---|---|---|---|---|
| 1a | During the tax year, did the foundation attempt to influence any national, state, or local legislation or did it participate or intervene in any political campaign? | 1a | | X |
| b | Did it spend more than $100 during the year (either directly or indirectly) for political purposes (see instructions for definition)?<br>*If the answer is "Yes" to* **1a** *or* **1b**, *attach a detailed description of the activities and copies of any materials published or distributed by the foundation in connection with the activities* | 1b | | X |
| c | Did the foundation file **Form 1120-POL** for this year? | 1c | | X |
| d | Enter the amount (if any) of tax on political expenditures (section 4955) imposed during the year:<br>**(1)** On the foundation. ▶ $ 0. **(2)** On foundation managers. ▶ $ 0. | | | |
| e | Enter the reimbursement (if any) paid by the foundation during the year for political expenditure tax imposed on foundation managers. ▶ $ 0. | | | |
| 2 | Has the foundation engaged in any activities that have not previously been reported to the IRS?<br>*If "Yes," attach a detailed description of the activities* | 2 | | X |
| 3 | Has the foundation made any changes, not previously reported to the IRS, in its governing instrument, articles of incorporation, or bylaws, or other similar instruments? *If "Yes," attach a conformed copy of the changes* | 3 | | X |
| 4a | Did the foundation have unrelated business gross income of $1,000 or more during the year? | 4a | | X |
| b | If "Yes," has it filed a tax return on **Form 990-T** for this year? N/A | 4b | | |
| 5 | Was there a liquidation, termination, dissolution, or substantial contraction during the year?<br>*If "Yes," attach the statement required by General Instruction T* | 5 | | X |
| 6 | Are the requirements of section 508(e) (relating to sections 4941 through 4945) satisfied either:<br>● By language in the governing instrument, or<br>● By state legislation that effectively amends the governing instrument so that no mandatory directions that conflict with the state law remain in the governing instrument? | 6 | X | |
| 7 | Did the foundation have at least $5,000 in assets at any time during the year?<br>*If "Yes," complete Part II, col. (c), and Part XV.* | 7 | X | |
| 8a | Enter the states to which the foundation reports or with which it is registered (see instructions) ▶<br>CA | | | |
| b | If the answer is "Yes" to line 7, has the foundation furnished a copy of Form 990-PF to the Attorney General (or designate) of each state as required by *General Instruction G? If "No," attach explanation* | 8b | X | |
| 9 | Is the foundation claiming status as a private operating foundation within the meaning of section 4942(j)(3) or 4942(j)(5) for calendar year 2010 or the taxable year beginning in 2010 (see instructions for Part XIV)? *If "Yes," complete Part XIV* | 9 | | X |
| 10 | Did any persons become substantial contributors during the tax year? If "Yes," attach a schedule listing their names and addresses | 10 | | X |

## Part VII-A Statements Regarding Activities *(continued)*

| | | | Yes | No |
|---|---|---|---|---|
| 11 | At any time during the year, did the foundation, directly or indirectly, own a controlled entity within the meaning of section 512(b)(13)? If "Yes," attach schedule (see instructions) | 11 | | X |
| 12 | Did the foundation acquire a direct or indirect interest in any applicable insurance contract before August 17, 2008? | 12 | | X |
| 13 | Did the foundation comply with the public inspection requirements for its annual returns and exemption application? | 13 | X | |

Website address ▶ N/A

14 The books are in care of ▶ JONA GOLDRICH C/O GOLDRICH & KEST Telephone no. ▶310-204-2050

Located at ▶5150 OVERLAND AVENUE, CULVER CITY, CA ZIP+4 ▶90230

15 Section 4947(a)(1) nonexempt charitable trusts filing Form 990-PF in lieu of **Form 1041** - Check here ▶ ☐

and enter the amount of tax-exempt interest received or accrued during the year ▶ 15 N/A

| | | | Yes | No |
|---|---|---|---|---|
| 16 | At any time during calendar year 2010, did the foundation have an interest in or a signature or other authority over a bank, securities, or other financial account in a foreign country? | 16 | | X |
| | See page 20 of the instructions for exceptions and filing requirements for Form TD F 90-22.1. If "Yes," enter the name of the foreign country ▶ | | | |

## Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required

| | | | Yes | No |
|---|---|---|---|---|
| | **File Form 4720 if any item is checked in the "Yes" column, unless an exception applies.** | | | |
| 1a | During the year did the foundation (either directly or indirectly): | | | |
| | (1) Engage in the sale or exchange, or leasing of property with a disqualified person? ☐ Yes ☒ No | | | |
| | (2) Borrow money from, lend money to, or otherwise extend credit to (or accept it from) a disqualified person? ☐ Yes ☒ No | | | |
| | (3) Furnish goods, services, or facilities to (or accept them from) a disqualified person? ☐ Yes ☒ No | | | |
| | (4) Pay compensation to, or pay or reimburse the expenses of, a disqualified person? ☐ Yes ☒ No | | | |
| | (5) Transfer any income or assets to a disqualified person (or make any of either available for the benefit or use of a disqualified person)? ☐ Yes ☒ No | | | |
| | (6) Agree to pay money or property to a government official? (**Exception**. Check "No" if the foundation agreed to make a grant to or to employ the official for a period after termination of government service, if terminating within 90 days.) ☐ Yes ☒ No | | | |
| b | If any answer is "Yes" to 1a(1)-(6), did **any** of the acts fail to qualify under the exceptions described in Regulations section 53.4941(d)-3 or in a current notice regarding disaster assistance (see page 22 of the instructions)? N/A | 1b | | |
| | Organizations relying on a current notice regarding disaster assistance check here ▶ ☐ | | | |
| c | Did the foundation engage in a prior year in any of the acts described in 1a, other than excepted acts, that were not corrected before the first day of the tax year beginning in 2010? | 1c | | X |
| 2 | Taxes on failure to distribute income (section 4942) (does not apply for years the foundation was a private operating foundation defined in section 4942(j)(3) or 4942(j)(5)): | | | |
| a | At the end of tax year 2010, did the foundation have any undistributed income (lines 6d and 6e, Part XIII) for tax year(s) beginning before 2010? ☐ Yes ☒ No | | | |
| | If "Yes," list the years ▶ ____, ____, ____, ____ | | | |
| b | Are there any years listed in 2a for which the foundation is **not** applying the provisions of section 4942(a)(2) (relating to incorrect valuation of assets) to the year's undistributed income? (If applying section 4942(a)(2) to **all** years listed, answer "No" and attach statement - see instructions.) N/A | 2b | | |
| c | If the provisions of section 4942(a)(2) are being applied to **any** of the years listed in 2a, list the years here. ▶ ____, ____, ____, ____ | | | |
| 3a | Did the foundation hold more than a 2% direct or indirect interest in any business enterprise at any time during the year? ☐ Yes ☒ No | | | |
| b | If "Yes," did it have excess business holdings in 2010 as a result of **(1)** any purchase by the foundation or disqualified persons after May 26, 1969; **(2)** the lapse of the 5-year period (or longer period approved by the Commissioner under section 4943(c)(7)) to dispose of holdings acquired by gift or bequest; or **(3)** the lapse of the 10-, 15-, or 20-year first phase holding period? *(Use Schedule C, Form 4720, to determine if the foundation had excess business holdings in 2010.)* N/A | 3b | | |
| 4a | Did the foundation invest during the year any amount in a manner that would jeopardize its charitable purposes? | 4a | | X |
| b | Did the foundation make any investment in a prior year (but after December 31, 1969) that could jeopardize its charitable purpose that had not been removed from jeopardy before the first day of the tax year beginning in 2010? | 4b | | X |

## Part VII-B Statements Regarding Activities for Which Form 4720 May Be Required *(continued)*

| | | | | |
|---|---|---|---|---|
| **5a** During the year did the foundation pay or incur any amount to: | | | | |
| (1) Carry on propaganda, or otherwise attempt to influence legislation (section 4945(e))? | ☐ Yes ☒ No | | | |
| (2) Influence the outcome of any specific public election (see section 4955); or to carry on, directly or indirectly, any voter registration drive? | ☐ Yes ☒ No | | | |
| (3) Provide a grant to an individual for travel, study, or other similar purposes? | ☐ Yes ☒ No | | | |
| (4) Provide a grant to an organization other than a charitable, etc., organization described in section 509(a)(1), (2), or (3), or section 4940(d)(2)? | ☐ Yes ☒ No | | | |
| (5) Provide for any purpose other than religious, charitable, scientific, literary, or educational purposes, or for the prevention of cruelty to children or animals? | ☐ Yes ☒ No | | | |
| **b** If any answer is "Yes" to 5a(1)-(5), did **any** of the transactions fail to qualify under the exceptions described in Regulations section 53.4945 or in a current notice regarding disaster assistance (see instructions)? | N/A | 5b | | |
| Organizations relying on a current notice regarding disaster assistance check here | ▶ ☐ | | | |
| **c** If the answer is "Yes" to question 5a(4), does the foundation claim exemption from the tax because it maintained expenditure responsibility for the grant? N/A | ☐ Yes ☐ No | | | |
| *If "Yes," attach the statement required by Regulations section 53 4945-5(d).* | | | | |
| **6a** Did the foundation, during the year, receive any funds, directly or indirectly, to pay premiums on a personal benefit contract? | ☐ Yes ☒ No | | | |
| **b** Did the foundation, during the year, pay premiums, directly or indirectly, on a personal benefit contract? | | 6b | | X |
| *If "Yes" to 6b, file Form 8870.* | | | | |
| **7a** At any time during the tax year, was the foundation a party to a prohibited tax shelter transaction? | ☐ Yes ☒ No | | | |
| **b** If "Yes," did the foundation receive any proceeds or have any net income attributable to the transaction? | N/A | 7b | | |

## Part VIII Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors

**1 List all officers, directors, trustees, foundation managers and their compensation.**

| (a) Name and address | (b) Title, and average hours per week devoted to position | (c) Compensation (If not paid, enter -0-) | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| SEE STATEMENT 11 | | 0. | 0. | 0. |
| | | | | |
| | | | | |
| | | | | |

**2 Compensation of five highest-paid employees (other than those included on line 1). If none, enter "NONE."**

| (a) Name and address of each employee paid more than $50,000 | (b) Title, and average hours per week devoted to position | (c) Compensation | (d) Contributions to employee benefit plans and deferred compensation | (e) Expense account, other allowances |
|---|---|---|---|---|
| NONE | | | | |
| | | | | |
| | | | | |
| | | | | |
| | | | | |

**Total** number of other employees paid over $50,000 ▶ 0

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**Part VIII** Information About Officers, Directors, Trustees, Foundation Managers, Highly Paid Employees, and Contractors *(continued)*

**3 Five highest-paid independent contractors for professional services. If none, enter "NONE."**

| (a) Name and address of each person paid more than $50,000 | (b) Type of service | (c) Compensation |
|---|---|---|
| NONE | | |
| | | |
| | | |
| | | |
| | | |
| **Total** number of others receiving over $50,000 for professional services ▶ | | 0 |

**Part IX-A** Summary of Direct Charitable Activities

| List the foundation's four largest direct charitable activities during the tax year. Include relevant statistical information such as the number of organizations and other beneficiaries served, conferences convened, research papers produced, etc. | Expenses |
|---|---|
| 1 N/A | |
| 2 | |
| 3 | |
| 4 | |

**Part IX-B** Summary of Program-Related Investments

| Describe the two largest program-related investments made by the foundation during the tax year on lines 1 and 2. | Amount |
|---|---|
| 1 N/A | |
| 2 | |
| All other program-related investments. See instructions.<br>3 | |
| **Total.** Add lines 1 through 3 ▶ | 0. |

Form **990-PF** (2010)

## Part X Minimum Investment Return (All domestic foundations must complete this part Foreign foundations, see instructions.)

| | | | |
|---|---|---|---|
| 1 | Fair market value of assets not used (or held for use) directly in carrying out charitable, etc., purposes: | | |
| a | Average monthly fair market value of securities | 1a | 79,763,969. |
| b | Average of monthly cash balances | 1b | 5,600,198. |
| c | Fair market value of all other assets | 1c | 454,927. |
| d | **Total** (add lines 1a, b, and c) | 1d | 85,819,094. |
| e | Reduction claimed for blockage or other factors reported on lines 1a and 1c (attach detailed explanation) 1e 0. | | |
| 2 | Acquisition indebtedness applicable to line 1 assets | 2 | 0. |
| 3 | Subtract line 2 from line 1d | 3 | 85,819,094. |
| 4 | Cash deemed held for charitable activities. Enter 1 1/2% of line 3 (for greater amount, see instructions) | 4 | 1,287,286. |
| 5 | **Net value of noncharitable-use assets.** Subtract line 4 from line 3. Enter here and on Part V, line 4 | 5 | 84,531,808. |
| 6 | **Minimum investment return.** Enter 5% of line 5 | 6 | 4,226,590. |

## Part XI Distributable Amount (see instructions) (Section 4942(j)(3) and (j)(5) private operating foundations and certain foreign organizations check here ▶ ☐ and do not complete this part.)

| | | | | | |
|---|---|---|---|---|---|
| 1 | Minimum investment return from Part X, line 6 | | | 1 | 4,226,590. |
| 2a | Tax on investment income for 2010 from Part VI, line 5 | 2a | 46,249. | | |
| b | Income tax for 2010. (This does not include the tax from Part VI.) | 2b | | | |
| c | Add lines 2a and 2b | | | 2c | 46,249. |
| 3 | Distributable amount before adjustments. Subtract line 2c from line 1 | | | 3 | 4,180,341. |
| 4 | Recoveries of amounts treated as qualifying distributions | | | 4 | 0. |
| 5 | Add lines 3 and 4 | | | 5 | 4,180,341. |
| 6 | Deduction from distributable amount (see instructions) | | | 6 | 0. |
| 7 | **Distributable amount** as adjusted. Subtract line 6 from line 5. Enter here and on Part XIII, line 1 | | | 7 | 4,180,341. |

## Part XII Qualifying Distributions (see instructions)

| | | | |
|---|---|---|---|
| 1 | Amounts paid (including administrative expenses) to accomplish charitable, etc., purposes: | | |
| a | Expenses, contributions, gifts, etc. - total from Part I, column (d), line 26 | 1a | 3,556,136. |
| b | Program-related investments - total from Part IX-B | 1b | 0. |
| 2 | Amounts paid to acquire assets used (or held for use) directly in carrying out charitable, etc., purposes | 2 | |
| 3 | Amounts set aside for specific charitable projects that satisfy the: | | |
| a | Suitability test (prior IRS approval required) | 3a | |
| b | Cash distribution test (attach the required schedule) | 3b | |
| 4 | **Qualifying distributions.** Add lines 1a through 3b. Enter here and on Part V, line 8, and Part XIII, line 4 | 4 | 3,556,136. |
| 5 | Foundations that qualify under section 4940(e) for the reduced rate of tax on net investment income. Enter 1% of Part I, line 27b | 5 | 46,249. |
| 6 | **Adjusted qualifying distributions.** Subtract line 5 from line 4 | 6 | 3,509,887. |

**Note.** The amount on line 6 will be used in Part V, column (b), in subsequent years when calculating whether the foundation qualifies for the section 4940(e) reduction of tax in those years.

## Part XIII Undistributed Income (see instructions)

| | (a)<br>Corpus | (b)<br>Years prior to 2009 | (c)<br>2009 | (d)<br>2010 |
|---|---|---|---|---|
| 1 Distributable amount for 2010 from Part XI, line 7 | | | | 4,180,341. |
| 2 Undistributed income, if any, as of the end of 2010 | | | | |
| a Enter amount for 2009 only | | | 3,517,403. | |
| b Total for prior years: ______ , ______ , ______ | | 0. | | |
| 3 Excess distributions carryover, if any, to 2010: | | | | |
| a From 2005 | | | | |
| b From 2006 | | | | |
| c From 2007 | | | | |
| d From 2008 | | | | |
| e From 2009 | | | | |
| f **Total** of lines 3a through e | 0. | | | |
| 4 Qualifying distributions for 2010 from Part XII, line 4: ▶ $ 3,556,136. | | | | |
| a Applied to 2009, but not more than line 2a | | | 3,517,403. | |
| b Applied to undistributed income of prior years (Election required - see instructions) | | 0. | | |
| c Treated as distributions out of corpus (Election required - see instructions) | 0. | | | |
| d Applied to 2010 distributable amount | | | | 38,733. |
| e Remaining amount distributed out of corpus | 0. | | | |
| 5 Excess distributions carryover applied to 2010 (If an amount appears in column (d), the same amount must be shown in column (a).) | 0. | | | 0. |
| 6 **Enter the net total of each column as indicated below:** | | | | |
| a Corpus Add lines 3f, 4c, and 4e Subtract line 5 | 0. | | | |
| b Prior years' undistributed income. Subtract line 4b from line 2b | | 0. | | |
| c Enter the amount of prior years' undistributed income for which a notice of deficiency has been issued, or on which the section 4942(a) tax has been previously assessed | | 0. | | |
| d Subtract line 6c from line 6b. Taxable amount - see instructions | | 0. | | |
| e Undistributed income for 2009. Subtract line 4a from line 2a. Taxable amount - see instr. | | | 0. | |
| f Undistributed income for 2010. Subtract lines 4d and 5 from line 1. This amount must be distributed in 2011 | | | | 4,141,608. |
| 7 Amounts treated as distributions out of corpus to satisfy requirements imposed by section 170(b)(1)(F) or 4942(g)(3) | 0. | | | |
| 8 Excess distributions carryover from 2005 not applied on line 5 or line 7 | 0. | | | |
| 9 **Excess distributions carryover to 2011.** Subtract lines 7 and 8 from line 6a | 0. | | | |
| 10 Analysis of line 9: | | | | |
| a Excess from 2006 | | | | |
| b Excess from 2007 | | | | |
| c Excess from 2008 | | | | |
| d Excess from 2009 | | | | |
| e Excess from 2010 | | | | |

**Part XIV** **Private Operating Foundations** (see instructions and Part VII-A, question 9) N/A

1 a If the foundation has received a ruling or determination letter that it is a private operating foundation, and the ruling is effective for 2010, enter the date of the ruling ▶

b Check box to indicate whether the foundation is a private operating foundation described in section ☐ 4942(j)(3) or ☐ 4942(j)(5)

| | Tax year | Prior 3 years | | | |
|---|---|---|---|---|---|
| | (a) 2010 | (b) 2009 | (c) 2008 | (d) 2007 | (e) Total |
| 2 a Enter the lesser of the adjusted net income from Part I or the minimum investment return from Part X for each year listed | | | | | |
| b 85% of line 2a | | | | | |
| c Qualifying distributions from Part XII, line 4 for each year listed | | | | | |
| d Amounts included in line 2c not used directly for active conduct of exempt activities | | | | | |
| e Qualifying distributions made directly for active conduct of exempt activities. Subtract line 2d from line 2c | | | | | |
| 3 Complete 3a, b, or c for the alternative test relied upon: | | | | | |
| a "Assets" alternative test - enter: (1) Value of all assets | | | | | |
| (2) Value of assets qualifying under section 4942(j)(3)(B)(i) | | | | | |
| b "Endowment" alternative test - enter 2/3 of minimum investment return shown in Part X, line 6 for each year listed | | | | | |
| c "Support" alternative test - enter: (1) Total support other than gross investment income (interest, dividends, rents, payments on securities loans (section 512(a)(5)), or royalties) | | | | | |
| (2) Support from general public and 5 or more exempt organizations as provided in section 4942(j)(3)(B)(iii) | | | | | |
| (3) Largest amount of support from an exempt organization | | | | | |
| (4) Gross investment income | | | | | |

**Part XV** **Supplementary Information (Complete this part only if the foundation had $5,000 or more in assets at any time during the year-see the instructions.)**

1 **Information Regarding Foundation Managers:**

a List any managers of the foundation who have contributed more than 2% of the total contributions received by the foundation before the close of any tax year (but only if they have contributed more than $5,000). (See section 507(d)(2).)

JONA GOLDRICH

b List any managers of the foundation who own 10% or more of the stock of a corporation (or an equally large portion of the ownership of a partnership or other entity) of which the foundation has a 10% or greater interest.

NONE

2 **Information Regarding Contribution, Grant, Gift, Loan, Scholarship, etc., Programs:**

Check here ▶ ☒ if the foundation only makes contributions to preselected charitable organizations and does not accept unsolicited requests for funds. If the foundation makes gifts, grants, etc. (see instructions) to individuals or organizations under other conditions, complete items 2a, b, c, and d.

a The name, address, and telephone number of the person to whom applications should be addressed:

b The form in which applications should be submitted and information and materials they should include:

c Any submission deadlines:

d Any restrictions or limitations on awards, such as by geographical areas, charitable fields, kinds of institutions, or other factors:

**Part XV** . **Supplementary Information** (continued)

**3 Grants and Contributions Paid During the Year or Approved for Future Payment**

| Recipient<br>Name and address (home or business) | If recipient is an individual, show any relationship to any foundation manager or substantial contributor | Foundation status of recipient | Purpose of grant or contribution | Amount |
|---|---|---|---|---|
| **a** *Paid during the year* | | | | |
| SEE STATEMENT 12 | | | | |
| **Total** | | | ▶ **3a** | 3,539,064. |
| **b** *Approved for future payment* | | | | |
| NONE | | | | |
| **Total** | | | ▶ **3b** | 0. |

## Part XVI-A Analysis of Income-Producing Activities

| Enter gross amounts unless otherwise indicated. | Unrelated business income | | Excluded by section 512, 513, or 514 | | (e) Related or exempt function income |
|---|---|---|---|---|---|
| | (a) Business code | (b) Amount | (c) Exclu-sion code | (d) Amount | |
| 1 Program service revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| f | | | | | |
| g Fees and contracts from government agencies | | | | | |
| 2 Membership dues and assessments | | | | | |
| 3 Interest on savings and temporary cash investments | | | 14 | 33,477. | |
| 4 Dividends and interest from securities | | | 14 | 2,804,528. | |
| 5 Net rental income or (loss) from real estate: | | | | | |
| a Debt-financed property | | | | | |
| b Not debt-financed property | | | | | |
| 6 Net rental income or (loss) from personal property | | | | | |
| 7 Other investment income | | | 14 | 116,655. | |
| 8 Gain or (loss) from sales of assets other than inventory | | | 18 | 2,096,007. | |
| 9 Net income or (loss) from special events | | | | | |
| 10 Gross profit or (loss) from sales of inventory | | | | | |
| 11 Other revenue: | | | | | |
| a | | | | | |
| b | | | | | |
| c | | | | | |
| d | | | | | |
| e | | | | | |
| 12 Subtotal. Add columns (b), (d), and (e) | | 0. | | 5,050,667. | 0. |

**13 Total.** Add line 12, columns (b), (d), and (e) 13 5,050,667.

(See worksheet in line 13 instructions to verify calculations.)

## Part XVI-B Relationship of Activities to the Accomplishment of Exempt Purposes

| Line No. ▼ | Explain below how each activity for which income is reported in column (e) of Part XVI-A contributed importantly to the accomplishment of the foundation's exempt purposes (other than by providing funds for such purposes). |
|---|---|
| 11 | |

## Part XVII Information Regarding Transfers To and Transactions and Relationships With Noncharitable Exempt Organizations

| | | | Yes | No |
|---|---|---|---|---|
| 1 | Did the organization directly or indirectly engage in any of the following with any other organization described in section 501(c) of the Code (other than section 501(c)(3) organizations) or in section 527, relating to political organizations? | | | |
| a | Transfers from the reporting foundation to a noncharitable exempt organization of: | | | |
| | (1) Cash | 1a(1) | | X |
| | (2) Other assets | 1a(2) | | X |
| b | Other transactions: | | | |
| | (1) Sales of assets to a noncharitable exempt organization | 1b(1) | | X |
| | (2) Purchases of assets from a noncharitable exempt organization | 1b(2) | | X |
| | (3) Rental of facilities, equipment, or other assets | 1b(3) | | X |
| | (4) Reimbursement arrangements | 1b(4) | | X |
| | (5) Loans or loan guarantees | 1b(5) | | X |
| | (6) Performance of services or membership or fundraising solicitations | 1b(6) | | X |
| c | Sharing of facilities, equipment, mailing lists, other assets, or paid employees | 1c | | X |

**d** If the answer to any of the above is "Yes," complete the following schedule. Column **(b)** should always show the fair market value of the goods, other assets, or services given by the reporting foundation. If the foundation received less than fair market value in any transaction or sharing arrangement, show in column **(d)** the value of the goods, other assets, or services received.

| (a) Line no | (b) Amount involved | (c) Name of noncharitable exempt organization | (d) Description of transfers, transactions, and sharing arrangements |
|---|---|---|---|
| | | N/A | |
| | | | |
| | | | |
| | | | |
| | | | |
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| | | | |
| | | | |

**2a** Is the foundation directly or indirectly affiliated with, or related to, one or more tax-exempt organizations described in section 501(c) of the Code (other than section 501(c)(3)) or in section 527? ☐ Yes ☒ No

**b** If "Yes," complete the following schedule.

| (a) Name of organization | (b) Type of organization | (c) Description of relationship |
|---|---|---|
| N/A | | |
| | | |
| | | |
| | | |
| | | |

**Sign Here**

Under penalties of perjury, I declare that I have examined this return, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete Declaration of preparer (other than taxpayer or fiduciary) is based on all information of which preparer has any knowledge

X

Signature of officer or trustee

X 10/12/12 Date

X Director Title

**Paid Preparer Use Only**

| | | | | |
|---|---|---|---|---|
| Print/Type preparer's name<br>KURT KILWEIN | Preparer's signature | Date<br>10-12-12 | Check ☐ if self-employed | PTIN |
| Firm's name ▶ NSBN LLP | | | Firm's EIN ▶ | |
| Firm's address ▶ 9454 WILSHIRE BLVD., 4TH FLOOR<br>BEVERLY HILLS, CA 90212-2907 | | | Phone no. (310)273-2501 | |

**Schedule B**
**(Form 990, 990-EZ, or 990-PF)**
Department of the Treasury
Internal Revenue Service

# Schedule of Contributors

▶ **Attach to Form 990, 990-EZ, or 990-PF.**

OMB No 1545-0047

**2010**

**Name of the organization**

THE GOLDRICH FAMILY FOUNDATION

**Employer identification number**

95-4155986

**Organization type** (check one)

| **Filers of:** | **Section:** |
|---|---|
| Form 990 or 990-EZ | ☐ 501(c)( ) (enter number) organization |
| | ☐ 4947(a)(1) nonexempt charitable trust **not** treated as a private foundation |
| | ☐ 527 political organization |
| Form 990-PF | ☒ 501(c)(3) exempt private foundation |
| | ☐ 4947(a)(1) nonexempt charitable trust treated as a private foundation |
| | ☐ 501(c)(3) taxable private foundation |

Check if your organization is covered by the **General Rule** or a **Special Rule.**
**Note.** Only a section 501(c)(7), (8), or (10) organization can check boxes for both the General Rule and a Special Rule See instructions.

**General Rule**

☒ For an organization filing Form 990, 990-EZ, or 990-PF that received, during the year, $5,000 or more (in money or property) from any one contributor Complete Parts I and II

**Special Rules**

☐ For a section 501(c)(3) organization filing Form 990 or 990-EZ that met the 33 1/3% support test of the regulations under sections 509(a)(1) and 170(b)(1)(A)(vi), and received from any one contributor, during the year, a contribution of the greater of **(1)** $5,000 or **(2)** 2% of the amount on (i) Form 990, Part VIII, line 1h or (ii) Form 990-EZ, line 1. Complete Parts I and II.

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, aggregate contributions of more than $1,000 for use *exclusively* for religious, charitable, scientific, literary, or educational purposes, or the prevention of cruelty to children or animals. Complete Parts I, II, and III

☐ For a section 501(c)(7), (8), or (10) organization filing Form 990 or 990-EZ that received from any one contributor, during the year, contributions for use *exclusively* for religious, charitable, etc., purposes, but these contributions did not aggregate to more than $1,000 If this box is checked, enter here the total contributions that were received during the year for an *exclusively* religious, charitable, etc , purpose. Do not complete any of the parts unless the **General Rule** applies to this organization because it received nonexclusively religious, charitable, etc , contributions of $5,000 or more during the year ▶ $ ____________

**Caution.** An organization that is not covered by the General Rule and/or the Special Rules does not file Schedule B (Form 990, 990-EZ, or 990-PF), but it **must** answer "No" on Part IV, line 2 of its Form 990, or check the box on line H of its Form 990-EZ, or on line 2 of its Form 990-PF, to certify that it does not meet the filing requirements of Schedule B (Form 990, 990-EZ, or 990-PF)

LHA **For Paperwork Reduction Act Notice, see the Instructions for Form 990, 990-EZ, or 990-PF.** **Schedule B (Form 990, 990-EZ, or 990-PF) (2010)**

| Name of organization | Employer identification number |
|---|---|
| THE GOLDRICH FAMILY FOUNDATION | 95-4155986 |

**Part I** **Contributors** (see instructions)

| (a)<br>No. | (b)<br>Name, address, and ZIP + 4 | (c)<br>Aggregate contributions | (d)<br>Type of contribution |
|---|---|---|---|
| 1 | JONA AND DORETTA GOLDRICH<br>5150 OVERLAND AVE<br>CULVER CITY, CA 90230 | $ 5,000,000. | Person ☒<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution.) |
| **(a)<br>No.** | **(b)<br>Name, address, and ZIP + 4** | **(c)<br>Aggregate contributions** | **(d)<br>Type of contribution** |
|  |  | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution.) |
| **(a)<br>No.** | **(b)<br>Name, address, and ZIP + 4** | **(c)<br>Aggregate contributions** | **(d)<br>Type of contribution** |
|  |  | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution.) |
| **(a)<br>No.** | **(b)<br>Name, address, and ZIP + 4** | **(c)<br>Aggregate contributions** | **(d)<br>Type of contribution** |
|  |  | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution.) |
| **(a)<br>No.** | **(b)<br>Name, address, and ZIP + 4** | **(c)<br>Aggregate contributions** | **(d)<br>Type of contribution** |
|  |  | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution.) |
| **(a)<br>No.** | **(b)<br>Name, address, and ZIP + 4** | **(c)<br>Aggregate contributions** | **(d)<br>Type of contribution** |
|  |  | $ | Person ☐<br>Payroll ☐<br>Noncash ☐<br>(Complete Part II if there is a noncash contribution.) |

| **Name of organization** | **Employer identification number** |
|---|---|
| THE GOLDRICH FAMILY FOUNDATION | 95-4155986 |

## Part II Noncash Property (see instructions)

| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
|---|---|---|---|
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |
| (a) No. from Part I | (b) Description of noncash property given | (c) FMV (or estimate) (see instructions) | (d) Date received |
| | | $ | |

**Name of organization**

THE `GOLDRICH FAMILY FOUNDATION

**Employer identification number**

95-4155986

**Part III** **Exclusively religious, charitable, etc., individual contributions to section 501(c)(7), (8), or (10) organizations aggregating more than $1,000 for the year.** Complete columns **(a)** through **(e)** and the following line entry For organizations completing Part III, enter the total of *exclusively* religious, charitable, etc., contributions of **$1,000 or less** for the year (Enter this information once See instructions.) ▶ $

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

| (a) No. from Part I | (b) Purpose of gift | (c) Use of gift | (d) Description of how gift is held |
|---|---|---|---|
| | | | |

(e) Transfer of gift

| Transferee's name, address, and ZIP + 4 | Relationship of transferor to transferee |
|---|---|
| | |

CONTINUATION FOR 990-PF, PART IV
THE GOLDRICH FAMILY FOUNDATION 95-4155986 PAGE 1 OF 2

**Part IV** Capital Gains and Losses for Tax on Investment Income

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | CREDIT SUISSE 216-570986 (SEE ATTACHED SCHEDULE) | P | VARIOUS | VARIOUS |
| b | CHARLES SCHWAB 3102-3209 (SEE ATTACHED SCHEDULE) | P | VARIOUS | VARIOUS |
| c | CHARLES SCHWAB 3102-3209 (SEE ATTACHED SCHEDULE) | P | VARIOUS | VARIOUS |
| d | LUMINOUS CAPITAL 674-433403 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| e | LUMINOUS CAPITAL 674-072516 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| f | LUMINOUS CAPITAL 674-072516 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| g | LUMINOUS CAPITAL 674-423572 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| h | LUMINOUS CAPITAL 674-423572 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| i | LUMINOUS CAPITAL 674-350990 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| j | LUMINOUS CAPITAL 674-350990 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| k | LUMINOUS CAPITAL 674-359122 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| l | LUMINOUS CAPITAL 674-359122 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| m | LUMINOUS CAPITAL 674-351032 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| n | LUMINOUS CAPITAL 674-351032 (SEE SCHEDULE ATTACHE | P | VARIOUS | VARIOUS |
| o | K-1 LC TRADEWINDS GLOBAL LP | P | VARIOUS | VARIOUS |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 727,240. | | 803,126. | <75,886.> |
| b | 2,517,388. | | 2,514,148. | 3,240. |
| c | 2,486,031. | | 2,453,834. | 32,197. |
| d | 1,000,000. | | 951,345. | 48,655. |
| e | 8,632,318. | | 9,174,484. | <542,166.> |
| f | 6,936,806. | | 5,426,131. | 1,510,675. |
| g | 826,360. | | 678,264. | 148,096. |
| h | 631,744. | | 496,421. | 135,323. |
| i | 3,841,268. | | 3,881,829. | <40,561.> |
| j | 6,341,753. | | 5,957,413. | 384,340. |
| k | 46,805. | | 30,793. | 16,012. |
| l | 425,317. | | 302,392. | 122,925. |
| m | 509,521. | | 509,142. | 379. |
| n | 3,340,921. | | 3,143,004. | 197,917. |
| o | | | 274,025. | <274,025.> |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | <75,886.> |
| b | | | | 3,240. |
| c | | | | 32,197. |
| d | | | | 48,655. |
| e | | | | <542,166.> |
| f | | | | 1,510,675. |
| g | | | | 148,096. |
| h | | | | 135,323. |
| i | | | | <40,561.> |
| j | | | | 384,340. |
| k | | | | 16,012. |
| l | | | | 122,925. |
| m | | | | 379. |
| n | | | | 197,917. |
| o | | | | <274,025.> |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 If (loss), enter "-0-" in Part I, line 7 } | 2 | |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 | 3 | |

THE GOLDRICH FAMILY FOUNDATION

CONTINUATION FOR 990-PF, PART IV
95-4155986 PAGE 2 OF 2

**Part IV** Capital Gains and Losses for Tax on Investment Income

| | (a) List and describe the kind(s) of property sold, e.g., real estate, 2-story brick warehouse; or common stock, 200 shs. MLC Co. | (b) How acquired P - Purchase D - Donation | (c) Date acquired (mo., day, yr.) | (d) Date sold (mo., day, yr.) |
|---|---|---|---|---|
| 1a | K-1 LC SENIOR CREDIT FUND LP | P | VARIOUS | VARIOUS |
| b | K-1 LC SENIOR CREDIT FUND LP | P | VARIOUS | VARIOUS |
| c | K-1 LC SPECIAL SITUATIONS FUND LP | P | VARIOUS | VARIOUS |
| d | K-1 LC SPECIAL SITUATIONS FUND LP | P | VARIOUS | VARIOUS |
| e | K-1 PERMAL INVESTMENT PARTNERS LP | P | VARIOUS | VARIOUS |
| f | K-1 PERMAL INVESTMENT PARTNERS LP | P | VARIOUS | VARIOUS |
| g | K-1 PERMAL INVESTMENT PARTNERS LP | P | VARIOUS | VARIOUS |
| h | CAPITAL GAINS DIVIDENDS | | | |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | (e) Gross sales price | (f) Depreciation allowed (or allowable) | (g) Cost or other basis plus expense of sale | (h) Gain or (loss) (e) plus (f) minus (g) |
|---|---|---|---|---|
| a | 48,730. | | | 48,730. |
| b | 81,375. | | | 81,375. |
| c | 6,718. | | | 6,718. |
| d | 91,551. | | | 91,551. |
| e | 5,251. | | | 5,251. |
| f | 31,980. | | | 31,980. |
| g | 305. | | | 305. |
| h | 162,976. | | | 162,976. |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | Complete only for assets showing gain in column (h) and owned by the foundation on 12/31/69 | | | (l) Losses (from col. (h)) Gains (excess of col. (h) gain over col. (k), but not less than "-0-") |
|---|---|---|---|---|
| | (i) F.M.V. as of 12/31/69 | (j) Adjusted basis as of 12/31/69 | (k) Excess of col. (i) over col. (j), if any | |
| a | | | | 48,730. |
| b | | | | 81,375. |
| c | | | | 6,718. |
| d | | | | 91,551. |
| e | | | | 5,251. |
| f | | | | 31,980. |
| g | | | | 305. |
| h | | | | 162,976. |
| i | | | | |
| j | | | | |
| k | | | | |
| l | | | | |
| m | | | | |
| n | | | | |
| o | | | | |

| | | | |
|---|---|---|---|
| 2 | Capital gain net income or (net capital loss) { If gain, also enter in Part I, line 7 / If (loss), enter "-0-" in Part I, line 7 } | 2 | 2,096,007. |
| 3 | Net short-term capital gain or (loss) as defined in sections 1222(5) and (6): If gain, also enter in Part I, line 8, column (c). If (loss), enter "-0-" in Part I, line 8 | 3 | N/A |

## FORM 990-PF INTEREST ON SAVINGS AND TEMPORARY CASH INVESTMENTS STATEMENT 1

| SOURCE | AMOUNT |
|---|---|
| ISRAEL DISCOUNT BANK | 31,659. |
| U.S. TREASURY (INTEREST ON TAX REFUND) | 6. |
| UNION BANK OF CALIFORNIA | 1,812. |
| TOTAL TO FORM 990-PF, PART I, LINE 3, COLUMN A | 33,477. |

## FORM 990-PF DIVIDENDS AND INTEREST FROM SECURITIES STATEMENT 2

| SOURCE | GROSS AMOUNT | CAPITAL GAINS DIVIDENDS | COLUMN (A) AMOUNT |
|---|---|---|---|
| CHARLES SCHWAB #3102-3209 | 578,729. | 3,734. | 574,995. |
| CREDIT SUISSE #216-570986 | 153,779. | 225. | 153,554. |
| K-1 - LUMINOUS CAPITAL LC RIMROCK LP-INTEREST | 23. | 0. | 23. |
| K-1 - LUMINOUS CAPITAL SENIOR CREDIT FUND, LP-DIVIDEND | 1,677. | 0. | 1,677. |
| K-1 - LUMINOUS CAPITAL SENIOR CREDIT FUND, LP-INTEREST | 244,405. | 0. | 244,405. |
| K-1 - LUMINOUS CAPITAL SPECIAL SITUATION FUND LP-DIVIDEND | 1,334. | 0. | 1,334. |
| K-1 - LUMINOUS CAPITAL SPECIAL SITUATION FUND LP-INTEREST | 27,247. | 0. | 27,247. |
| K-1 - LUMINOUS CAPITAL TRADEWINDS GLOBAL LP-INTEREST | 12. | 0. | 12. |
| K-1 - PERMAL INVESTMENT PARTNERS, L.P.-DIVIDENDS | 36,190. | 0. | 36,190. |
| K-1 - PERMAL INVESTMENT PARTNERS, L.P.-INTEREST | 2,328. | 0. | 2,328. |
| LUMINOUS CAPITAL (FIDELITY #674-072516) | 1,180,963. | 83,800. | 1,097,163. |
| LUMINOUS CAPITAL (FIDELITY #674-350990) | 276,132. | 0. | 276,132. |
| LUMINOUS CAPITAL (FIDELITY #674-351032) | 257,408. | 0. | 257,408. |
| LUMINOUS CAPITAL (FIDELITY #674-359122) | 37,549. | 0. | 37,549. |
| LUMINOUS CAPITAL (FIDELITY #674-423572) | 46,912. | 0. | 46,912. |
| LUMINOUS CAPITAL (FIDELITY #674-433403) | 98,832. | 75,217. | 23,615. |
| YESHIVA GEDOLA OF LOS ANGELES | 23,984. | 0. | 23,984. |
| TOTAL TO FM 990-PF, PART I, LN 4 | 2,967,504. | 162,976. | 2,804,528. |

## FORM 990-PF OTHER INCOME STATEMENT 3

| DESCRIPTION | (A) REVENUE PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME |
|---|---|---|---|
| K-1 - LUMINOUS CAPITAL SPECIAL SITUATIONS FUND, LP | 66,566. | 66,566. | |
| K-1 LUMINOUS CAPITAL SENIOR CREDIT FUND, LP | 39,201. | 39,201. | |
| K-1 - HSBC PERMAL PARTNERS, LP | 8,697. | 8,697. | |
| MISCELLANEOUS OTHER INCOME | 116. | 116. | |
| LITIGATION SETTLEMENT INCOME | 879. | 879. | |
| OTHER INCOME-CHARLES SCHWAB #3102-3209 | 1,196. | 1,196. | |
| TOTAL TO FORM 990-PF, PART I, LINE 11 | 116,655. | 116,655. | |

## FORM 990-PF ACCOUNTING FEES STATEMENT 4

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| LEGAL AND ACCOUNTING FEES | 16,847. | 0. | | 16,847. |
| TO FORM 990-PF, PG 1, LN 16B | 16,847. | 0. | | 16,847. |

## FORM 990-PF TAXES STATEMENT 5

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| FOREIGN WITHHOLDING TAX | 12,961. | 12,961. | | 0. |
| STATE INCOME TAX | 1,263. | 1,263. | | 0. |
| FEDERAL TAXES-FYE 11/30/2010 FORM 990-PF | 27,392. | 0. | | 0. |
| FEDERAL TAXES-FYE 11/30/2011 FORM 990-PF | 100,000. | 0. | | 0. |
| BACK-UP WITHHOLDING FROM PASSTHROUGH | 67. | 67. | | 0. |
| TO FORM 990-PF, PG 1, LN 18 | 141,683. | 14,291. | | 0. |

FORM 990-PF OTHER EXPENSES STATEMENT 6

| DESCRIPTION | (A) EXPENSES PER BOOKS | (B) NET INVEST-MENT INCOME | (C) ADJUSTED NET INCOME | (D) CHARITABLE PURPOSES |
|---|---|---|---|---|
| INVESTMENT EXPENSE | 201,590. | 201,590. | | 0. |
| FILING FEES | 225. | 0. | | 225. |
| PORTFOLIO DEDUCTIONS-LC SENIOR CREDIT FUND LP K-1 | 70,995. | 70,995. | | 0. |
| PORTFOLIO DEDUCTIONS-LC RIMROCK LP K-1 | 63,359. | 63,359. | | 0. |
| PORTFOLIO DEDUCTIONS-LC TRADEWINDS GLOBAL LP K-1 | 13,256. | 13,256. | | 0. |
| NON-DEDUCTIBLE EXPENSES PER SCHEDULE K-1 | 461. | 0. | | 0. |
| PENALTIES | 1,808. | 0. | | 0. |
| PORTFOLIO DEDUCTIONS-LC SPECIAL SITUATIONS FUND FUND LP K-1 | 31,470. | 31,470. | | 0. |
| PORTFOLIO DEDUCTIONS-PERMAL INVESTMENT PARTNERS LP K-1 | 22,529. | 22,529. | | 0. |
| TO FORM 990-PF, PG 1, LN 23 | 405,693. | 403,199. | | 225. |

FORM 990-PF U.S. AND STATE/CITY GOVERNMENT OBLIGATIONS STATEMENT 7

| DESCRIPTION | U.S. GOV'T | OTHER GOV'T | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|---|
| INVESTMENT IN US GOVERNMENT | X | | 10,183,643. | 10,780,038. |
| TOTAL U.S. GOVERNMENT OBLIGATIONS | | | 10,183,643. | 10,780,038. |
| TOTAL STATE AND MUNICIPAL GOVERNMENT OBLIGATIONS | | | | |
| TOTAL TO FORM 990-PF, PART II, LINE 10A | | | 10,183,643. | 10,780,038. |

FORM 990-PF CORPORATE STOCK STATEMENT 8

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| INVESTMENT IN CORPORATE STOCKS | 18,730,037. | 19,364,902. |
| TOTAL TO FORM 990-PF, PART II, LINE 10B | 18,730,037. | 19,364,902. |

FORM 990-PF CORPORATE BONDS STATEMENT 9

| DESCRIPTION | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|
| INVESTMENT IN CORPORATE BONDS | 6,139,113. | 6,406,639. |
| TOTAL TO FORM 990-PF, PART II, LINE 10C | 6,139,113. | 6,406,639. |

FORM 990-PF OTHER INVESTMENTS STATEMENT 10

| DESCRIPTION | VALUATION METHOD | BOOK VALUE | FAIR MARKET VALUE |
|---|---|---|---|
| INVESTMENT IN LT CD'S | COST | 0. | 0. |
| INVESTMENT IN MUTUAL FUNDS | COST | 21,964,283. | 22,483,192. |
| INVESTMENT IN ALTERNATIVE INVESTMENTS | COST | 15,525,118. | 17,403,573. |
| TOTAL TO FORM 990-PF, PART II, LINE 13 | | 37,489,401. | 39,886,765. |

FORM 990-PF PART VIII - LIST OF OFFICERS, DIRECTORS TRUSTEES AND FOUNDATION MANAGERS STATEMENT 11

| NAME AND ADDRESS | TITLE AND AVRG HRS/WK | COMPEN-SATION | EMPLOYEE BEN PLAN CONTRIB | EXPENSE ACCOUNT |
|---|---|---|---|---|
| JONA GOLDRICH<br>5150 OVERLAND AVENUE<br>CULVER CITY, CA 90230 | PRESIDENT<br>2.00 | 0. | 0. | 0. |
| ANDREA GOLDRICH CAYTON<br>5150 OVERLAND AVENUE<br>CULVER CITY, CA 90230 | SECRETARY<br>2.00 | 0. | 0. | 0. |
| MELINDA GOLDRICH<br>5150 OVERLAND AVENUE<br>CULVER CITY, CA 90230 | TREASURER<br>2.00 | 0. | 0. | 0. |
| DORETTA GOLDRICH<br>5150 OVERLAND AVENUE<br>CULVER CITY, CA 90230 | DIRECTOR<br>2.00 | 0. | 0. | 0. |
| BARRY CAYTON<br>5150 OVERLAND AVENUE<br>CULVER CITY, CA 90230 | DIRECTOR<br>2.00 | 0. | 0. | 0. |
| DAVID ROCHKIND<br>5150 OVERLAND AVENUE<br>CULVER CITY, CA 90230 | CFO<br>2.00 | 0. | 0. | 0. |
| TOTALS INCLUDED ON 990-PF, PAGE 6, PART VIII | | 0. | 0. | 0. |

FORM 990-PF

## GRANTS AND CONTRIBUTIONS PAID DURING THE YEAR

STATEMENT 12

| RECIPIENT NAME AND ADDRESS | RECIPIENT RELATIONSHIP AND PURPOSE OF GRANT | RECIPIENT STATUS | AMOUNT |
|---|---|---|---|
| ABRAHAM JOSHUA HESCHEL DAY SCHOOL<br>17701 DEVONSHIRE STREET<br>NORTHRIDGE, CA 91325 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 90,000. |
| ALLIED JEWISH FEDERATION OF COLORADO<br>300 S. DAHLIA ST. SUITE 300<br>DENVER, CO 80246 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 500,000. |
| AMERICAN ASSOCIATES OF THE HAIFA FOUNDATION<br>8306 WILSHIRE BLVD #401 BEVERLY HILLS, CA 90211 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,000. |
| AMERICAN FRIENDS OF TEL AVIV UNIVERSITY<br>39 BROADWAY, 15TH FLOOR NEW YORK, NY 10006 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 186,800. |
| AMERICAN JEWISH COMMITTEE<br>165 EAST 56 STREET NEW YORK, NY 10022 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 700. |
| AMERICAN JEWISH JOINT DISTRIBUTION COMMITTEE<br>PO BOX 530 NEW YORK, NY 10017 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,500. |
| AMERICAN JEWISH UNIVERSITY<br>15600 MULHOLLAND DRIVE BEL-AIR, CA 90077 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 12,500. |
| AMERICAN SOCIETY FOR YAD VASHEM<br>16501 VENTURA BLVD SUITE 504<br>ENCINO, CA 91436 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 125,000. |

| | | | |
|---|---|---|---|
| ANTI-DEFAMATION LEAGUE<br>823 UNITED NATIONS PLAZA NEW YORK, NY 10017 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 20,000. |
| ASPEN ANIMAL SHELTER<br>P.O. BOX 985 ASPEN, CO 81612 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 250. |
| ASPEN FILM<br>110 E.HALLAM STREET,SUITE 102 ASPEN, CO 81611 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 600. |
| ASPEN JEWISH CONGREGATION<br>77 MEADOWOOD DRIVE ASPEN, CO 81611 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 29,750. |
| ASPEN INSTITUTE INC<br>ONE DUPONT CIRCLE NW,SUITE 700 WASHINGTON, DC 20036 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 23,475. |
| ASPEN TREE<br>P.O. BOX 8064 ASPEN, CO 81612 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 15,500. |
| ASPEN WATERS FOUNDATION<br>ONE DUPONT CIRCLE NW,SUITE 700 WASHINGTON, DC 20036 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,625. |
| BEIT T'SHUVAH<br>8831 VENICE BLVD. LOS ANGELES, CA 90034 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| BEVERLY HILLS FIREMEN'S ASSOC<br>PO BOX 1720 BEVERLY HILLS, CA 90213 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 350. |
| BEVERLY HILLS POLICE OFFICERS ASSOC<br>464 NORTH REXFORD DRIVE BEVERLY HILLS, CA 90210 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 250. |

| | | | |
|---|---|---|---|
| BRANDEIS UNIVERSITY<br>415 SOUTH STREET WALTHAM, MA 02453 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 25,000. |
| CEDARS-SINAI MEDICAL CENTER<br>8700 BEVERLY BLVD. ROOM 2416<br>LOS ANGELES, CA 90048 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 112,250. |
| CENTRAL FUND OF ISRAEL (PANIM EL PANIM)<br>980 AVENUE OF THE AMERICAS NEW YORK, NY 10018 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| CHILDREN UNITING NATIONS<br>PO BOX 56235 SHERMAN OAKS, CA 91413 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| CHILDREN'S HOSPITAL - BOSTON<br>300 LONGWOOD AVENUE BOSTON, MA 02115 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| CIRCLE OF LIFE/THE EXECUTIVES<br>7150 TAMPA AVENUE RESEDA, CA 91335 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,180. |
| CITY OF HOPE<br>PO BOX 60409 LOS ANGELES, CA 90060 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| CONCERN FOUNDATION<br>1026 S ROBERTSON BLVD SUITE 300<br>LOS ANGELES, CA 90035 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 100. |
| CURTIS SCHOOL PARENTS ASSOCIATION<br>15871 MULHOLLAND DRIVE LOS ANGELES, CA 90049 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 16,550. |
| EMEK HEBREW ACADEMY TEICHMAN FAMILY TORAH CENTER<br>15365 MAGNOLIA BOULEVARD<br>SHERMAN OAKS, CA 91403 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 250. |

| | | | |
|---|---|---|---|
| EXECUTIVES FOR THE LOS ANGELES JEWISH HOME (SAME AS LA JEWISH HOME) - 7150 TAMPA AVENUE<br>RESEDA, CA 91335 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 50,000. |
| FRIENDS OF ASPEN ANIMAL SHELTER<br>101 ANIMAL SHELTER ROAD ASPEN, CO 81611 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,886. |
| FRIENDS OF OHR ELCHANAN<br>632 EAST 5TH STREET BROOKLYN, NY 11218 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 11,000. |
| FRIENDS OF SHEBA MEDICAL CENTER<br>250 WEST 57TH STREET ROOM 711<br>NEW YORK, NY 10107 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 35,000. |
| FRIENDS OF THE ISRAELI DEFENSE FORCES<br>350 FIFTH AVENUE, SUITE 2011<br>NEW YORK, NY 10118 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 12,000. |
| FRIENDSHIP CIRCLE OF LOS ANGELES<br>9581 W PICO BLVD #102 LOS ANGELES, CA 90035 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 2,500. |
| GALICIRAO LEGACY PHILANTROPHY | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 100. |
| GOLSHIM L'CHAIM<br>435 WEST MAIN STREET ASPEN, CO 81611 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 110,000. |
| GUARDIANS OF THE JEWISH HOMES,THE<br>1640 S SEPULVEDA BLVD,SUITE 210<br>LOS ANGELES, CA 90025 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,000. |
| HADASSAH THE WOMEN'S ZIONIST ORGANIZATION OF AMERICA INC<br>50 W 58TH STREET NEW YORK, NY 10019 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,180. |

| | | | |
|---|---|---|---|
| HAIFA FOUNDATION<br>2029 CENTURY PARK EAST,SUITE 250<br>LOS ANGELES, CA 90067 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 15,000. |
| HARVARD WESTLAKE SCHOOL<br>3700 COLDWATER CANYON AVE NORTH<br>HOLLYWOOD, CA 91604 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 25,000. |
| HAZON, INC<br>125 MAIDEN LANE, SUITE 8B NEW<br>YORK, NY 10038 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 180. |
| HIKE FOR HOPE<br>936 W FRANCIS STREET ASPEN, CO<br>81611 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 750. |
| HILLEL UCLA<br>574 HILGARD AVENUE LOS ANGELES,<br>CA 90024 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 5,000. |
| HSAC (HOMELAND SECURITY ADVISORY<br>COUNCIL)<br>10900 WILSHIRE BLVD.SUITE 1500<br>LOS ANGELES, CA 90024 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 2,500. |
| IMAGINE LA<br>5455 WILSHIRE BLVD,SUITE 1001<br>LOS ANGELES, CA 90036 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 150. |
| INTERNATIONAL MEDICAL CORPS<br>1919 SANTA MONICA BLVD, SUITE<br>400 SANTA MONICA, CA 90404 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 150. |
| ISRAEL AIR FORCE CENTER<br>2300 COMPUTER AVENUE BUILDING<br>D-18 WILLOW GROVE, PA 19090 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 104,500. |
| ISRAEL CULTURAL OUTREACH<br>5567 RESEDA BLVD., SUITE 330<br>RESEDA, CA 91356 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 5,000. |

| | | | |
|---|---|---|---|
| ISRAEL EMERGENCY ALLIANCE DBA ELNET<br>P.O. BOX 341069 LOS ANGELES, CA 90034 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| ISRAEL HUMANITARIAN FOUNDATION<br>276 5TH AVENUE, SUITE 207 NEW YORK, NY 10001 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| ISRAEL LEADERSHIP COUNCIL<br>4640 ADMIRALTY WAY, SUITE 406<br>MARINA DEL REY, CA 90292 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| ISRAFEST FOUNDATION, INC.<br>6404 WILSHIRE BLVD., SUITE 870<br>LOS ANGELES, CA 90048 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 2,500. |
| JCONNECT (CAMP JEWLICIOUS)<br>1801 AVENUE OF THE STARS #322<br>LOS ANGELES, CA 90067 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| JERUSALEM FOUNDATION<br>420 LEXINGTON AVENUE, SUITE 1645<br>NEW YORK, NY 10170 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| JEWISH COMMUNITY CENTER<br>435 WEST MAIN STREET ASPEN, CO 81611 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 18. |
| JEWISH COMMUNITY FOUNDATION<br>6505 WILSHIRE BLVD., SUITE 1200<br>LOS ANGELES, CA 90048 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1100000. |
| JEWISH EDUCATIONAL MOVEMENT (JEM CENTER)<br>9930 SANTA MONICA BLVD. BEVERLY HILLS, CA 90212 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 50,000. |
| JEWISH FEDERATION REAL ESTATE & CONSTRUCTION DIVISION<br>6505 WILSHIRE BLVD., SUITE 1200<br>LOS ANGELES, CA 90048 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |

| | | | |
|---|---|---|---|
| JEWISH FREE LOAN ASSOCIATION (JFLA)<br>6505 WILSHIRE BLVD. SUITE 715<br>LOS ANGELES, CA 90048 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,700. |
| JEWISH HEBREW STAGE (FORMERLY 'ISRAELI JEWISH COMMUNITY THEATRE') - 5300 NEWCASTLE AVE., #59 ENCINO, CA 91316 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| JEWISH LIFE FOUNDATION<br>16501 VENTURA BLVD., SUITE 504<br>ENCINO, CA 91436 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| JEWISH STUDENT UNION<br>9831 WEST PICO BLVD, #101 LOS ANGELES, CA 90035 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| JEWISH WORLD WATCH<br>17514 VENTURA BLVD.,SUITE 206<br>ENCINO, CA 91316 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,500. |
| JOHN HOPKINS CTY<br>5801 SMITH AVE, SUITE 400<br>BALTIMORE, MD 21209 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 100. |
| JEWS FOR JUDAISM<br>PO BOX 15059 BALTIMORE, MD 21282 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| JVS DIAMOND FOUNDATION<br>6505 WILSHIRE BLVD. SUITE 200<br>LOS ANGELES, CA 90048 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 200. |
| JWE PRODUCTIONS CLIENT:LA HOLOCAUST MUSEUM (DOCUMENTARY FILM FOR JONA) - PO BOX 7701<br>BEVERLY HILLS, CA 90212 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| KOMEN ASPEN<br>1450 CRYSTAL LAKE ROAD ASPEN, CO 81611 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 140. |

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|---|---|---|---|
| LOS ANGELES JEWISH FILM FESTIVAL<br>5870 W OLYMPIC BLVD LOS ANGELES, CA 90036 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| LOS ANGELES JEWISH HOME FOR THE AGING<br>7150 TAMPA AVENUE RESEDA, CA 91335 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 23,600. |
| LA HOLOCAUST MEMORIAL MONUMENT<br>5150 OVERLAND AVENUE CULVER CITY, CA 90230 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 61,000. |
| LOS ANGELES MUSEUM OF THE HOLOCAUST<br>100 S. THE GROVE DRIVE LOS ANGELES, CA 90036 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 276,500. |
| LOS ANGELES OPERA<br>135 NORTH GRAND AVENUE LOS ANGELES, CA 90012 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| MEDIA CENTRAL<br>10024 SKOKIE BLVD., SUITE 201 SKOKIE, IL 60077 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 15,000. |
| MUSEUM OF THE HISTORY OF POLISH JEWS<br>401 BROADWAY, SUITE 1200 NEW YORK, NY 10013 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| MUSIC CENTER FOUNDERS<br>135 NORTH GRAND AVENUE LOS ANGELES, CA 90012 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,000. |
| NATIONAL JEWISH HEALTH<br>P.O. BOX 17169 DENVER, CO 80217 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 180. |
| NER ARYEH<br>5425 WHITSETT AVE VALLEY VILLAGE, CA 91607 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |

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|---|---|---|---|
| NEW COMMUNITY JEWISH HIGH SCHOOL<br>7353 VALLEY CIRCLE BLVD. WEST HILLS, CA 91304 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 3,600. |
| NYAKA<br>PO BOX 339 EAST LANSING, MI 48826 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 10,000. |
| ORT AMERICA<br>6435 WILSHIRE BLVD SUITE 305<br>LOS ANGELES, CA 90048 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,500. |
| PEF ISRAEL ENDOWMENT FUNDS<br>317 MADISON AVE., SUITE 607 NEW YORK, NY 10017 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,000. |
| SHEBA MEDICAL CENTER<br>2566 OVERLAND AVE., SUITE 670<br>LOS ANGELES, CA 90064 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 30,000. |
| SINAI TEMPLE<br>10400 WILSHIRE BLVD LOS ANGELES, CA 90024 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 13,550. |
| STAND WITH US<br>P.O. BOX 341069 LOS ANGELES, CA 90034 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,650. |
| STEPHEN S WISE TEMPLE<br>15500 STEPHEN S. WISE DR LOS ANGELES, CA 90077 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 32,445. |
| TEACHERS ACROSS BORDERS<br>427 DETROIT STREET DENVER, CO 80206 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 500. |
| THE ARCHER SCHOOL FOR GIRLS<br>11725 SUNSET BLVD LOS ANGELES, CA 90049 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 32,000. |

| | | | |
|---|---|---|---|
| THE RAPE FOUNDATION<br>1223 WILSHIRE BLVD.,SUITE 410<br>SANTA MONICA, CA 90403 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 700. |
| THE WASHINGTON INSTITUTE FOR<br>NEAR EAST POLICY<br>1828 "L" STREET, N.W. #1050<br>WASHINGTON, DC 20036 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 5,000. |
| THEATRE ASPEN<br>110 EAST HALLAM STREET ASPEN,<br>CO 81611 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 48,450. |
| TTCF-UCLA FOUNDATION<br>10833 LE CONTE AVENUE LOS<br>ANGELES, CA 90095 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 5,000. |
| UC REGENTS<br>710 WESTWOOD PLAZA LOS ANGELES,<br>CA 90095 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 1,000. |
| UC SAN DIEGO FOUNDATION<br>9500 GILMAN DRIVE LA JOLLA, CA<br>92093 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 3,000. |
| UJA/ASPEN COMMUNITY CAMPAIGN<br>PO BOX 8590 ASPEN, CO 81612 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 52,162. |
| UNIVERSITY HERITAGE SOCIETY<br>48 WEST PARKWAY CLIFTON, NJ<br>07014 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 1,680. |
| USC HILLEL<br>3300 SOUTH HOOVER STREET LOS<br>ANGELES, CA 90007 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 5,000. |
| WILDWOOD SCHOOL<br>11811 OLYMPIC BLVD LOS ANGELES,<br>CA 90064 | NONE<br>PUBLIC SUPPORT OF<br>ORGANIZATION MISSION | PUBLIC<br>CHARITY | 360. |

| | | | |
|---|---|---|---|
| YAD EZRA VESHULAMIT<br>3470 WILSHIRE BLVD., SUITE 1020<br>LOS ANGELES, CA 90010 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 1,500. |
| YESHIVA GEDOLAH OF LOS ANGELES<br>5444 WEST OLYMPIC BLVD LOS ANGELES, CA 90036 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 50,000. |
| YESHIVA MENACHEM MENDEL<br>1606 S. LA CIENEGA BLVD LOS ANGELES, CA 90035 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 5,000. |
| FROM PERMAL INVESTMENT PARTNERS, L.P. SCHEDULE K-1<br>900 THIRD AVENUE NEW YORK, NY 10022 | NONE<br>PUBLIC SUPPORT OF ORGANIZATION MISSION | PUBLIC CHARITY | 3. |
| TOTAL TO FORM 990-PF, PART XV, LINE 3A | | | 3,539,064. |

# Realized Gain/Loss Statement:

# Credit Suisse 0986

**Recipient's Name and Address:**
THE GOLDRICH FAMILY FOUNDATION
5150 OVERLAND AVE

**Account Number: 216-570986**

Recipient's Identification
Number: 95-4155986

# 2011 TAX and
# YEAR-END STATEMENT

**Box 6—Covered or Noncovered Security.** This box indicates if the sale of your security is or is not a covered security under the new IRS cost basis reporting program. For 2011, a covered security is defined as the sale of a stock in a corporation that was acquired in 2011. Cost basis information contained in boxes 1b, 3, 5 and 8 will only be provided for the sale of covered securities.

**Box 8—Type of Gain or Loss.** For covered securities transactions, this field shows type of gain or loss, short term or long term. For noncovered transactions, this will be blank.

**Box 9—Description.** Shows a brief description of the item or service for which the proceeds or bartering income are being reported.

**Box 15—Loss Not Allowed.** If "Y" is displayed, you cannot take a loss on your tax return based on the gross proceeds from a reportable change in control or capital structure reported in box 2. Do not report this loss on Schedule D (Form 1040).

**U.S. Treasury Bills.** Proceeds from U.S. Treasury bill sales are reported in this section. The discount on Treasury bills maturing during 2011 is reported in the 1099-INT section. Refer to the 1099-INT section of these instructions for additional information.

**Accrued Interest Received.** Accrued interest received on notes and bonds sold between interest payments is not reported in the 1099-B section. It is reported on a settlement-date basis in the 1099-INT section of your Tax Information Statement

**Short Sales.** For 2011, the new cost basis reporting rules require brokers to report short sales in the year you closed the short sale rather than when you opened it. Therefore, to avoid duplicate reporting in 2011, we will only report your short sale if you opened and closed it during 2011. All short sales opened but not closed in 2011 will only be reported in the year that they close. A short sale will be denoted with a symbol "ll" in the 1099-B section of your Tax Information Statement. Consult your tax professional or IRS Pub. 550 for information on reporting proceeds from closed short sales on your tax return.

**Trade Date.** Transactions are reported on a trade-date basis. Therefore, your Tax Information Statement only includes transactions with a 2011 trade date. The date on the trust sale may be different from the date on your monthly statements for a trust sale because we are reporting the date the trust made the sale.

If you held an interest in a unit investment trust (UIT), mortgage-backed security, royalty trust, HOLDRS trust or commodities trust, we are required to report certain details regarding transactions for these securities on IRS Form 1099-B because these products are considered to be widely held fixed investment trusts (WHFITs). IRS rules governing reporting for WHFITs require us to provide more detailed and comprehensive information than was previously required on 1099 forms, but does not impact the total amount of income or expenses that we report to you. Information reported to you for WHFITs on IRS Form 1099-B is generally reportable to you on IRS Forms 8949 and 1040, Schedule D.

Please note that we are also required to furnish you with an additional tax information statement by March 15, 2012. This information is reported in the Additional Written Statement included in your Tax Information Statement. You need this information to complete your tax return. The Additional Written Statement is provided only to you, and not to the IRS. It has detailed information on income and expenses for WHFITs. Please refer to the Additional Written Statement provided and to the Tax Guide for other important WHFITs information. An explanation of items reflected on your IRS Form 1099-B is provided below.

**Trust Sale.** A trust sale represents the total amount paid to a selling trust interest holder for the sale of a trust interest and should be reported on Schedule D of your IRS Form 1040. This includes principal payments that completely retire a debt instrument (other than a final scheduled principal payment) and pro rata partial principal prepayments. It does not include pro rata sales by non-mortgage widely held fixed investment trusts (NMWHFITs) to affect redemptions or assets received in any corporate reorganization.

**Option Premium.** Option premiums for maturities redeemed for cash in 2011 and on reverse convertibles sold in 2011 are reported on IRS Form 1099-B. The interest on reverse convertibles that did not mature in 2011 will be reported on IRS Form 1099-INT. However, the option premium for that payment will be reported in the tax year of the maturity. When stock is purchased based upon the exercise of an option, the option premium reduces the cost of the acquired stock. When stock is sold based upon the assignment of an option, the proceeds of that sale are increased by the option premium and reported on Form 1099-B for covered securities ONLY. For noncovered securities the proceeds amount is reported on Form 1099-B excluding the option premium.

Please consult with your tax professional regarding the proper reporting of items of income and expense for WHFITs and widely held mortgage trusts (WHMTs).

## Schedule of Realized Gains and Losses

(We do not report this information to the IRS; it is used as the basis for reporting on Form 1099-B.)

| Date of Sale or Exchange | Date of Acquisition | Disposition Transaction | Quantity | Gross Proceeds | Cost or Other Basis | Wash Sale Loss Disallowed | Realized Gain or Loss | Disposition Method |
|---|---|---|---|---|---|---|---|---|
| **Long-Term Transactions for Which Basis Was Not Reported to the IRS (Noncovered)** | | | | | | | | |
| **Description:** FEDERAL HOME LN BKS FIXED RATE 3E-2017 | | | | | | CUSIP: 3133XWXN4 | | |
| 03/01/2011 | 02/25/2010 | RDMG | 125,000 | 125,000.00 | 125,143.26 | | (143.26) ✓ | SL |
| **Description:** PIONEER HIGH YIELD FUND CLASS A | | | | | | CUSIP: 72369B109 | | |
| 03/16/2011 | 03/26/2004 | SELL | 47,938.639 | 500,000.00 | 575,743.05 | | (75,743.05) ✓ | FI |

[redacted]

**Recipient's Name and Address:**

THE GOLDRICH FAMILY FOUNDATION
5150 OVERLAND AVE

**Account Number: 216-570986**

Recipient's Identification
Number: 95-4155986

# 2011 TAX and YEAR-END STATEMENT

## Schedule of Realized Gains and Losses *(Continued)*

(We do not report this information to the IRS; it is used as the basis for reporting on Form 1099-B.)

| Date of Sale or Exchange | Date of Acquisition | Disposition Transaction | Quantity | Gross Proceeds | Cost or Other Basis | Wash Sale Loss Disallowed | Realized Gain or Loss | Disposition Method |
|---|---|---|---|---|---|---|---|---|
| **Long-Term Transactions for Which Basis Was Not Reported to the IRS (Noncovered)** *(continued)* | | | | | | | | |
| **Description:** VERIZON NEW YORK INC SR DEB SER A | | | | | CUSIP: 92344XAA7 | | | |
| 11/28/2011 | 02/11/2009 | RDMG | 100,000 | 102,240.00 | 102,239.99 | | 0.01 ✓ | FI |
| **Total Long-Term Noncovered** | | | | 727,240.00 | 803,126.30 | | (75,886.30) | |
| **Total Long-Term** | | | | 727,240.00 | 803,126.30 | | (75,886.30) | |
| **Total Short-Term and Long-Term** | | | | 727,240.00 ✓ | 803,126.30 ✓ | | (75,886.30) ✓ | |

### Tax Lot Disposition Methods:

SL = VERSUS PURCHASE

FI = FIRST IN FIRST OUT

Please refer to the Client Service Information Section in your brokerage account statement for your account's existing tax-lot disposition method. The disposition method is the method which you have selected to use in the disposal of each tax lot of the securities held in your account. If you do not select a method, your account will be defaulted to the First In, First Out (FIFO) method. Your account's selected tax lot method will be used to determine the cost basis for calculating gain or loss, unless another method was selected at the time of the security disposal, and this may affect the type of gain or loss (short-term or long-term) reported for covered security transactions on IRS Form 1099-B.

### Schedule of Realized Gains and Losses

There are significant changes to this section due to new cost basis reporting requirements. We do not report this information to the IRS. However, it is used as the basis for what is reported on your *Form 1099-B*. For **"Covered"** securities transactions, the totals for each sale or exchange will also be displayed in the corresponding section of the 1099-B form of this tax statement. This will include the new cost basis information.

For **"Noncovered"** securities transactions, only the proceeds amounts (and any federal income taxes withheld from the proceeds) will be reported in the "Transactions for Which Basis Was Not Reported" section of the 1099-B form. Noncovered securities transactions are grouped on the 1099-B form regardless of holding period. Thus, this section provides valuable cost basis and holding period information to assist you with your tax preparation.

Transaction lots will be grouped and sorted by security in the following subsections:

- **Short-Term Transactions for Which Basis Was Reported to the IRS (Covered)**
- **Short-Term Transactions for Which Basis Was Not Reported to the IRS (Noncovered)**
- **Long-Term Transactions for Which Basis Was Reported to the IRS (Covered)**
- **Long-Term Transactions for Which Basis Was Not Reported to the IRS (Noncovered)**

**Date of Sale or Exchange.** The date of the sale or exchange for the security disposition.

# Realized Gain/Loss Statement:

# Charles Schwab 3209

3102-3209 GOLDRICH FAMILY FOUNDATION
Chanty Nonprof 5150 OVERLAND AVE
CULVER CITY CA

Total Known Realized Gain/(Loss) $/%
**$35,437.28/0.71%**

Total Known Short-Term Gain/(Loss)
**$3,240.56**

Total Known Long-Term Gain/(Loss)
**$32,196.72**

Total Known Proceeds
**$5,003,419.30**

Total Known Cost Basis
**$4,967,982.02**

**Cost Basis - Realized Gain/(Loss) - Filtered by: From 12/01/2010 Through 11/30/2011**

**Results: 37**

| | Symbol | Name | Sold/ Closed | Acquired/ Opened | Quantity Sold | Total Proceeds | Cost Basis[3] | Short Term | Long Term | Total | Total % | Notes[1] |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | AEF | AEGON NV 7 25% PFD FCAP SECS DUE PERP MTYSUBJ TO XTRO REDEMPTION | 05/19/2011 | 09/14/2007 | 2,000.00000 | $49,921 04 | $50,018 00 | | ($96 96) | ($96.96) | (0 19%) | |
| | 048825AV5 | ATLANTIC RCHFLD 9 125XXX**MATURED** DUE 03/01/11 | 03/01/2011 | 06/25/2010 | 250,000 00000 | $250,000 00 | $250,000 00 | $0 00 | | $0.00 | 0.00% | |
| ⊞ | BRKB | BERKSHIRE HATHAWAY B NEWCLASS B | 04/28/2011 | View Lots | 1,000 00000 | $82,975 66 | $82,264.15 | | $711.51 | $711 51 | 0 86% | |
| | 12189TAS3 | BURLINGTON NO 7 125XXX**MATURED** DUE 12/15/10 | 12/15/2010 | 10/26/2010 | 100,000.00000 | $100,000 00 | $100,000.00 | $0 00 | | $0.00 | 0 00% | |
| | 20029PAL3 | COMCAST CABLE CO 6 75%11SNR NOTE DUE 01/30/11 | 01/30/2011 | 09/02/2010 | 250,000.00000 | $250,000 00 | $250,000 00 | $0 00 | | $0.00 | 0 00% | |
| | CEG | CONSTELLATION ENERGY CO | 01/14/2011 | 11/06/2008 | 2,100 00000 | $66,602.13 | $48,728 11 | | $17,874 02 | $17,874 02 | 36.68% | |
| | CEG | CONSTELLATION ENERGY CO | 10/17/2011 | 04/28/2011 | 1,500 00000 | $57,334 95 | $54,393.64 | $2,941.31 | | $2,941.31 | 5 41% | |
| | CEG | CONSTELLATION ENERGY CO | 09/02/2011 | 04/28/2011 | 1,115 00000 | $42,595.27 | $40,432 60 | $2,162.67 | | $2,162 67 | 5.35% | |
| | GLW | CORNING INC | 10/06/2011 | 03/23/2011 | 2,500.00000 | $33,315 66 | $51,893.70 | ($18,578 04) | | ($18,578 04) | (35 80%) | |
| ⊞ | COST | COSTCO WHSL CORP NEW | 02/28/2011 | View Lots | 1,300.00000 | $97,021.19 | $71,717 74 | | $25,303.45 | $25,303 45 | 35.28% | |
| | 31331JHZ9 | FED FARM CR BK 4XXXNOTES DUE 03/29/19 | 03/29/2011 | 12/31/2010 | 300,000 00000 | $300,000 00 | $301,406 93 | ($1,406 93) | | ($1,406 93) | (0 47%) | |
| | 31331JPV9 | FED FARM CR BK 2.8XXX** CALLED **DUE 06/03/15@PAR EFF 12/03/10 | 12/03/2010 | 06/29/2010 | 350,000 00000 | $350,000 00 | $351,997.48 | ($1,997 48) | | ($1,997.48) | (0 57%) | |

| | Symbol | Name | Sold/ Closed | Acquired/ Opened | Quantity Sold | Total Proceeds | Cost Basis[3] | Short Term | Long Term | Total | Total % | Notes[1] |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 31331GR68 | FED FARM CR BK 4 4XXX** CALLED **DUE 09/16/19@ PAR EFF 09/16/11 | 09/16/2011 | 09/14/2009 | 50,000.00000 | $50,000.00 | $50,160 84 | | ($160 84) | ($160 84) | (0 32%) | |
| | 31331VLR5 | FED FARM CR BK 5 6XXX** CALLED **DUE 12/22/15@ PAR EFF 12/22/10 | 12/22/2010 | 06/23/2008 | 250,000 00000 | $250,000 00 | $252,582.27 | | ($2,582 27) | ($2,582 27) | (1 02%) | |
| | 31331JEK5 | FED FARM CR BK 1.67XXX** CALLED **DUE 02/19/13@ PAR EFF 08/19/2011 | 08/19/2011 | 07/22/2010 | 275,000 00000 | $275,000 00 | $276,899.42 | | ($1,899 42) | ($1,899 42) | (0 69%) | |
| | 31331XDV1 | FED FARM CR BK 5 67XXX** CALLED **DUE 11/17/21@ PAR EFF 11/17/11 | 11/17/2011 | 04/02/2008 | 250,000.00000 | $250,000.00 | $258,628.08 | | ($8,628 08) | ($8,628 08) | (3 34%) | |
| | 3134G1D43 | FED HM LN MTG 3XXX** CALLED **DUE 12/15/17@ PAR EFF 06/15/11 | 06/15/2011 | 01/11/2011 | 250,000 00000 | $250,000.00 | $248,830.50 | $1,169.50 | | $1,169 50 | 0.47% | |
| | 3133XSZ43 | FED HOME LN BK 3XXX** CALLED **DUE 02/18/14@ PAR EFF 02/18/11 | 02/18/2011 | 02/17/2009 | 250,000 00000 | $250,000 00 | $249,893 00 | | $107 00 | $107 00 | 0 04% | |
| | 313373BQ4 | FED HOME LN BK 3XXX** CALLED **DUE 10/20/16@ PAR EFF 05/20/11 | 05/20/2011 | 04/14/2011 | 150,000 00000 | $150,000 00 | $150,017.75 | ($17 75) | | ($17 75) | (0 01%) | |
| | 313372EE0 | FED HOME LN BK 2.3XXX** CALLED **DUE 08/04/15@ PAR EFF 05/17/11 | 05/17/2011 | 03/21/2011 | 250,000.00000 | $250,000.00 | $250,018 63 | ($18 63) | | ($18 63) | (0 01%) | |
| | 313370VA3 | FED HOME LN BK 2 6XXX** CALLED **DUE 12/22/17@ PAR EFF 08/23/11 | 08/23/2011 | 03/08/2011 | 250,000 00000 | $250,000.00 | $240,762 91 | $9,237.09 | | $9,237 09 | 3.84% | |
| | 3136F8V85 | FED NATL MTG 5XXX** CALLED **DUE 02/14/23@ PAR EFF 05/14/11 | 05/16/2011 | 02/19/2010 | 250,000.00000 | $250,000 00 | $251,982.37 | | ($1,982 37) | ($1,982 37) | (0 79%) | |
| ⊞ | FLIR | FLIR SYSTEMS INC | 05/06/2011 | View Lots | 2,000.00000 | $69,634 51 | $49,155.52 | | $20,478 99 | $20,478 99 | 41 66% | |
| ⊞ | GE | GENERAL ELECTRIC COMPANY | 02/25/2011 | View Lots | 1,000 00000 | $20,732 65 | $38,113 06 | | ($17,380 41) | ($17,380 41) | (45 60%) | |
| | 36962GWB6 | GENL ELEC CAP 6.125XXX**MATURED** DUE 02/22/11 | 02/22/2011 | 01/27/2009 | 150,000.00000 | $150,000.00 | $150,000.00 | | $0.00 | $0 00 | 0.00% | |
| ⊞ | HPQ | HEWLETT-PACKARD COMPANY | 09/02/2011 | View Lots | 2,500.00000 | $60,916 38 | $106,480 96 | ($10,576 25) | ($34,988 33) | ($45,564 58) | (42 79%) | |

| | Symbol | Name | Sold/ Closed | Acquired/ Opened | Quantity Sold | Total Proceeds | Cost Basis[3] | Short Term | Long Term | Total | Total % | Notes[1] |
|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | 437076AN2 | HOME DEPOT INC 5.2XXX**MATURED** DUE 03/01/11 | 03/01/2011 | 02/27/2009 | 150,000.00000 | $150,000 00 | $150,000.00 | | $0.00 | $0 00 | 0 00% | |
| ⊞ | ITT | I T T CORPORATION NEW INDIANA | 03/23/2011 | View Lots | 1,375 00000 | $78,421.88 | $70,071 40 | $3,833 34 | $4,517.14 | $8,350.48 | 11 92% | |
| | IDG | ING GROEP NV 7.375% PFDFPERPETUAL HYBRID CAP SEC | 05/10/2011 | 09/27/2007 | 2,000.00000 | $48,981 05 | $50,018 00 | | ($1,036 95) | ($1,036 95) | (2 07%) | |
| | EWT | ISHARES MSCI TAIWAN INDXTAIWAN INDEX FUND | 01/14/2011 | 12/07/2009 | 4,000 00000 | $62,709 99 | $49,968 95 | | $12,741.04 | $12,741 04 | 25 50% | |
| ⊞ | KMB | KIMBERLY-CLARK CORP | 02/08/2011 | View Lots | 1,400 00000 | $91,060 70 | $86,254 60 | $4,806 10 | | $4,806.10 | 5 57% | |
| | LMT | LOCKHEED MARTIN CORP | 01/14/2011 | 10/23/2009 | 1,000.00000 | $74,392 59 | $72,166.35 | | $2,226 24 | $2,226.24 | 3 08% | |
| ⊞ | MHS | MEDCOHEALTH SOLUTIONS | 06/21/2011 | View Lots | 1,600 00000 | $89,824.85 | $91,107 28 | ($1,177.34) | ($105 09) | ($1,282 43) | (1.41%) | |
| ⊞ | NYX | NYSE EURONEXT N V | 03/23/2011 | View Lots | 2,500 00000 | $87,683 87 | $70,928 30 | $5,471 65 | $11,283.92 | $16,755.57 | 23 62% | |
| ⊞ | PM | PHILIP MORRIS INTL INC | 01/14/2011 | View Lots | 1,500 00000 | $84,574 62 | $74,942.09 | $3,818.40 | $5,814 13 | $9,632.53 | 12 85% | |
| | PM | PHILIP MORRIS INTL INC | 12/29/2010 | 03/25/2010 | 250 00000 | $14,628.55 | $12,999 71 | $1,628.84 | | $1,628.84 | 12.53% | |
| ⊞ | WMB | WILLIAMS COMPANIES | 02/25/2011 | View Lots | 500 00000 | $15,091.76 | $13,147.68 | $1,944.08 | | $1,944 08 | 14 79% | |

**Disclosures**

The Realized Gain/Loss page provides summary information of closed transactions. Not all closed transactions appear on this page

We calculate cost basis using data that you or your client have provided to us or that we have obtained from market data supplied by third party sources We may also display cost basis data that we have not calculated but that has been supplied by you or your client, a prior custodian or another third party source. Because the accuracy of cost basis data depends upon these third party inputs, we are not able to guarantee the availability, accuracy or completeness of such cost basis data

Only covered transactions will be reported to the IRS Schwab does not provide tax or legal advice. Please have your clients consult with a tax advisor regarding their specific tax situation

**Footnotes apply where indicated on the data view.**

**Missing:** Indicates cost basis has not been provided for this security.

**Not Tracked:** Indicates original cost basis is not available.

1 a Data for this holding has been edited or provided by the Advisor.
  e Data for this holding has been edited or provided by the end client
  t Data for this holding has been edited or provided by a third party.
  w Cost Basis adjusted due to a wash sale.

3 Cost Basis for fixed income securities is now adjusted to reflect amortized/accreted values. Click the acquired/opened date to view original cost in the Details page. Note Some securities, including variable rate/term instruments and mortgage backed securities, may only reflect original cost even when the amortization/accretion preference is on.

8. Total excludes missing cost basis information, or values not tracked by Schwab.

(0307-0369)

# Realized Gain/Loss Statement:

## Luminous 3403

Luminous Capital 3403
11/30/2011

| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | Cost Selection Method |
|---|---|---|---|---|---|---|---|---|---|---|
| '304871106 | FAIRX | FAIRHOLME | 3/21/2011 | 10/11/2010 | 28,620.49 | $1,000,000.00 | $33.23 | $951,345.15 | $48,654.85 | Short |

# Realized Gain/Loss Statement:

# Luminous 2516

Luminous 2516
11/30/2011

| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '543487250 | NEZYX | LOOMIS SAY | 12/13/2010 | 10/29/2008 | 33,967.39 | $500,000.00 | $10.10 | $343,410.32 | $156,589.68 | Long |
| '543487250 | NEZYX | LOOMIS SAY | 12/7/2010 | 10/29/2008 | 135,869.57 | $2,000,000.00 | $10.10 | $1,373,641.30 | $626,358.70 | Long |
| '543487250 | NEZYX | LOOMIS SAY | 3/22/2011 | 1/8/2009 | 104,299.74 | $1,566,582.09 | $10.86 | $1,133,738.16 | $432,843.93 | Long |
| '543487250 | NEZYX | LOOMIS SAY | 3/22/2011 | 12/29/2008 | 5,999.94 | $90,119.08 | $10.35 | $62,099.37 | $28,019.71 | Long |
| '543487250 | NEZYX | LOOMIS SAY | 3/22/2011 | 12/29/2008 | 2,854.88 | $42,880.27 | $10.35 | $29,547.99 | $13,332.28 | Long |
| '543487250 | NEZYX | LOOMIS SAY | 3/22/2011 | 12/29/2008 | 614.503 | $9,229.84 | $10.35 | $6,360.11 | $2,869.73 | Long |
| '543487250 | NEZYX | LOOMIS SAY | 3/22/2011 | 11/25/2008 | 3,615.44 | $54,303.86 | $9.79 | $35,395.13 | $18,908.73 | Long |
| '543487250 | NEZYX | LOOMIS SAY | 3/22/2011 | 10/29/2008 | 49,060.24 | $736,884.86 | $10.11 | $495,999.10 | $240,885.76 | Long |
| '4812A4351 | JSOSX | JPMORGAN S | 3/30/2011 | 2/5/2010 | 11,666.67 | $140,000.00 | $11.61 | $135,566.66 | $4,433.34 | Long |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 6/1/2010 | 163.923 | $1,939.21 | $11.59 | $1,899.87 | $39.34 | Long |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 5/3/2010 | 117.867 | $1,394.37 | $11.76 | $1,386.12 | $8.25 | Long |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 4/1/2010 | 143.377 | $1,696.15 | $11.67 | $1,674.64 | $21.51 | Long |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 3/5/2010 | 36,359.73 | $430,135.55 | $11.61 | $422,500.00 | $7,635.55 | Long |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 3/1/2010 | 91.056 | $1,077.19 | $11.58 | $1,054.43 | $22.76 | Long |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 2/5/2010 | 24,693.06 | $292,118.88 | $11.62 | $286,933.34 | $5,185.54 | Long |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 7/1/2010 | 177.234 | $2,096.68 | $11.57 | $2,050.60 | $46.08 | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 10/19/2010 | 322.647 | $4,062.13 | $13.77 | $4,446.07 | ($383.94) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 9/17/2010 | 328.053 | $4,130.19 | $13.49 | $4,428.71 | ($298.52) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 8/20/2010 | 329.807 | $4,152.27 | $13.35 | $4,402.93 | ($250.66) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 7/19/2010 | 336.8 | $4,240.31 | $13.02 | $4,385.14 | ($144.83) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 6/17/2010 | 334.943 | $4,216.93 | $12.99 | $4,350.91 | ($133.98) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 6/14/2010 | 16,141.43 | $203,220.60 | $13.00 | $210,000.00 | ($6,779.40) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 5/19/2010 | 265.141 | $3,338.13 | $13.23 | $3,507.82 | ($169.69) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 4/19/2010 | 233.443 | $2,939.05 | $13.52 | $3,158.48 | ($219.43) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 3/17/2010 | 238.776 | $3,006.19 | $13.18 | $3,147.07 | ($140.88) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 3/5/2010 | 32,129.28 | $404,507.61 | $13.14 | $422,500.00 | ($17,992.39) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 2/18/2010 | 123.886 | $1,559.72 | $12.84 | $1,591.93 | ($32.21) | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 2/5/2010 | 33,585.06 | $422,835.86 | $12.57 | $422,500.00 | $335.86 | Long |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 11/17/2010 | 328.76 | $4,139.09 | $13.55 | $4,454.70 | ($315.61) | Long |
| | | | | | | $6,936,806.11 | | $5,426,130.90 | $1,510,675.21 | |
| | | | | | | | | | | |
| '72201F110 | PFATX | PIMCO FUND | 3/22/2011 | 12/31/2010 | 15,703.53 | $69,252.57 | $4.37 | $68,781.46 | $471.11 | Short |
| '72201F110 | PFATX | PIMCO FUND | 3/22/2011 | 9/16/2010 | 3,314.20 | $14,615.61 | $4.71 | $15,609.87 | ($994.26) | Short |
| '72201F110 | PFATX | PIMCO FUND | 3/22/2011 | 6/17/2010 | 2,355.09 | $10,385.96 | $4.67 | $10,998.29 | ($612.33) | Short |

Luminous 2516
11/30/2011

| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '72201F110 | PFATX | PIMCO FUND | 3/22/2011 | 6/14/2010 | 178,775.92 | $788,401.79 | $4.72 | $843,822.32 | ($55,420.53) | Short |
| '72201F110 | PFATX | PIMCO FUND | 3/22/2011 | 3/17/2011 | 1,634.85 | $7,209.69 | $4.40 | $7,193.35 | $16.34 | Short |
| '464286848 | EWJ | ISHARES IN | 4/4/2011 | 3/21/2011 | 93,721.00 | $954,061.46 | $10.67 | $1,000,020.44 | ($45,958.98) | Short |
| '464287101 | OEF | ISHARES TR | 4/6/2011 | 12/7/2010 | 9,208.00 | $550,021.02 | $55.47 | $510,856.09 | $39,164.93 | Short |
| '561709445 | YAFFX | YACKTMAN F | 4/6/2011 | 10/11/2010 | 29,115.93 | $550,000.00 | $17.22 | $501,667.54 | $48,332.46 | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 6/1/2011 | 127.418 | $1,507.35 | $11.98 | $1,527.74 | ($20 39) | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 5/2/2011 | 126.846 | $1,500.59 | $12.02 | $1,524.69 | ($24.10) | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 4/1/2011 | 132.297 | $1,565.07 | $11.98 | $1,584.92 | ($19 85) | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 3/1/2011 | 155.927 | $1,844.62 | $12.00 | $1,872.68 | ($28 06) | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 2/1/2011 | 169.148 | $2,001.02 | $11.92 | $2,017.93 | ($16.91) | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 1/3/2011 | 214.186 | $2,533.82 | $11.82 | $2,533.82 | $0.00 | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 12/15/2010 | 71.169 | $841.93 | $11.78 | $839.08 | $2.85 | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 12/1/2010 | 233.91 | $2,767.16 | $11.73 | $2,746.10 | $21.06 | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 11/1/2010 | 194.143 | $2,296.71 | $11.81 | $2,294.77 | $1.94 | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 10/1/2010 | 201.565 | $2,384.51 | $11.71 | $2,362.34 | $22.17 | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 9/1/2010 | 208.88 | $2,471.05 | $11.62 | $2,429.27 | $41.78 | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 8/2/2010 | 201.476 | $2,383.46 | $11.65 | $2,349.21 | $34.25 | Short |
| '4812A4351 | JSOSX | JPMORGAN S | 7/29/2011 | 7/1/2011 | 117.721 | $1,392.63 | $11.91 | $1,403.23 | ($10.60) | Short |
| '304871106 | FAIRX | FAIRHOLME | 8/11/2011 | 12/31/2010 | 52.348 | $1,411.83 | $35.57 | $1,862.53 | ($450.70) | Short |
| '304871106 | FAIRX | FAIRHOLME | 8/11/2011 | 12/17/2010 | 24,738.07 | $667,185.69 | $34.35 | $850,000.00 | ($182,814.31) | Short |
| '304871106 | FAIRX | FAIRHOLME | 8/11/2011 | 12/16/2010 | 1,643.30 | $44,319.75 | $34.03 | $55,937.85 | ($11,618.10) | Short |
| '304871106 | FAIRX | FAIRHOLME | 8/11/2011 | 12/16/2010 | 304.415 | $8,210.07 | $34.04 | $10,362.30 | ($2,152.23) | Short |
| '304871106 | FAIRX | FAIRHOLME | 8/11/2011 | 10/11/2010 | 4,472.17 | $120,614.34 | $33.24 | $148,654.85 | ($28,040.51) | Short |
| '304871106 | FAIRX | FAIRHOLME | 8/11/2011 | 12/31/2010 | 74.148 | $1,999.77 | $35.58 | $2,638.19 | ($638.42) | Short |
| '354728701 | ICHHX | FRANKLIN T | 11/9/2011 | 5/6/2011 | 294,406.28 | $2,888,125.62 | $10.18 | $3,000,000.00 | ($111,874.38) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 10/19/2011 | 961.704 | $12,107.85 | $12.94 | $12,444.45 | ($336.60) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 9/19/2011 | 935.844 | $11,782.28 | $13.27 | $12,418.65 | ($636.37) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 8/17/2011 | 905.353 | $11,398.39 | $13.68 | $12,394.28 | ($995.89) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 7/19/2011 | 893.811 | $11,253.08 | $13.83 | $12,370.34 | ($1,117.26) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 6/17/2011 | 891.937 | $11,229.49 | $13.78 | $12,299.81 | ($1,070.32) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 5/18/2011 | 892.782 | $11,240.13 | $13.74 | $12,275.75 | ($1,035.62) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 5/6/2011 | 144,404.33 | $1,818,050.54 | $13.85 | $2,000,000.00 | ($181,949.46) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 4/19/2011 | 331.219 | $4,170.05 | $13.85 | $4,587.39 | ($417.34) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 3/17/2011 | 342.405 | $4,310.88 | $13.37 | $4,577.96 | ($267.08) | Short |

Luminous 2516
11/30/2011

| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 2/17/2011 | 335.876 | $4,228.68 | $13.50 | $4,534.33 | ($305.65) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 1/20/2011 | 336.226 | $4,233.09 | $13.50 | $4,542.41 | ($309.32) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 12/17/2010 | 1,169.82 | $14,728.03 | $13.37 | $15,652.19 | ($924.16) | Short |
| '880208400 | TGBAX | TEMPLETON | 11/22/2011 | 11/17/2011 | 975.42 | $12,280.52 | $12.80 | $12,495.13 | ($214.61) | Short |
| | | | | | | $8,632,318.10 | | $9,174,483.55 | ($542,165.45) | |

# Realized Gain/Loss Statement:

# Luminous 3572

Luminous 3572
11/30/2011

| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '501044101 | KR | KROGER CO | 12/1/2010 | 9/21/2009 | 67 | $1,598.66 | $20.50 | $1,373.50 | $225.16 | Long |
| '501044101 | KR | KROGER CO | 12/1/2010 | 9/17/2009 | 250 | $5,965.16 | $20.80 | $5,200.00 | $765.16 | Long |
| '067901108 | ABX | BARRICK GO | 12/6/2010 | 4/16/2009 | 114 | $6,177.73 | $28.23 | $3,218.22 | $2,959.51 | Long |
| '067901108 | ABX | BARRICK GO | 12/6/2010 | 11/19/2008 | 30 | $1,625.72 | $21.35 | $640.50 | $985.22 | Long |
| '001084102 | AGCO | AGCO CORP | 12/7/2010 | 9/21/2009 | 148 | $7,187.85 | $28.57 | $4,228.36 | $2,959.49 | Long |
| '013817101 | AA | ALCOA INC | 12/7/2010 | 9/21/2009 | 444 | $6,389.05 | $13.84 | $6,144.96 | $244.09 | Long |
| '013817101 | AA | ALCOA INC | 12/7/2010 | 6/22/2009 | 386 | $5,554.44 | $10.22 | $3,944.92 | $1,609.52 | Long |
| '013817101 | AA | ALCOA INC | 12/7/2010 | 3/18/2009 | 698 | $10,044.05 | $5.50 | $3,839.00 | $6,205.05 | Long |
| '902494103 | TSN | TYSON FOOD | 12/9/2010 | 9/21/2009 | 619 | $10,796.84 | $12.79 | $7,917.01 | $2,879.83 | Long |
| '20441A102 | SBS | CIA SANEAM | 12/10/2010 | 11/18/2008 | 103 | $5,112.32 | $22.79 | $2,347.89 | $2,764.43 | Long |
| '704549104 | BTU | PEABODY EN | 12/13/2010 | 9/21/2009 | 347 | $21,669.86 | $38.08 | $13,213.76 | $8,456.10 | Long |
| '29082A107 | ERJ | EMBRAER S | 12/16/2010 | 11/16/2009 | 142 | $4,218.88 | $20.98 | $2,979.87 | $1,239.01 | Long |
| '832248108 | SFD | SMITHFIELD | 12/16/2010 | 9/21/2009 | 422 | $8,474.92 | $13.88 | $5,857.42 | $2,617.50 | Long |
| '452553308 | IMPUY | IMPALA PLA | 1/21/2011 | 10/27/2008 | 686 | $21,395.24 | $8.50 | $5,831.00 | $15,564.24 | Long |
| '452553308 | IMPUY | IMPALA PLA | 1/21/2011 | 9/9/2008 | 5 | $155.94 | $24.65 | $123.25 | $32.69 | Long |
| '803054204 | SAP | SAP AG SPO | 1/26/2011 | 10/28/2009 | 181 | $10,067.33 | $46.37 | $8,394.56 | $1,672.77 | Long |
| '368287207 | OGZPY | GAZPROM O | 2/1/2011 | 10/5/2009 | 151 | $4,199.23 | $24.20 | $3,654.59 | $544.64 | Long |
| '717081103 | PFE | PFIZER INC | 2/1/2011 | 9/21/2009 | 574 | $11,026.32 | $16.63 | $9,545.62 | $1,480.70 | Long |
| '717081103 | PFE | PFIZER INC | 2/1/2011 | 6/2/2009 | 252 | $4,840.83 | $15.01 | $3,782.52 | $1,058.31 | Long |
| '165167107 | CHK | CHESAPEAKE | 2/7/2011 | 10/13/2009 | 12 | $379.60 | $26.34 | $316.17 | $63.43 | Long |
| '165167107 | CHK | CHESAPEAKE | 2/7/2011 | 9/21/2009 | 106 | $3,353.10 | $27.83 | $2,949.98 | $403.12 | Long |
| '915436109 | UPMKY | UPM-KYMMEN | 2/7/2011 | 9/21/2009 | 524 | $10,439.97 | $12.77 | $6,691.48 | $3,748.49 | Long |
| '00817Y108 | AET | AETNA INC | 2/11/2011 | 10/20/2009 | 507 | $19,165.12 | $25.60 | $12,979.20 | $6,185.92 | Long |
| '485537302 | KCRPY | KAO CORP S | 2/15/2011 | 9/21/2009 | 37 | $970.49 | $24.30 | $899.10 | $71.39 | Long |
| '485537302 | KCRPY | KAO CORP S | 2/15/2011 | 9/21/2009 | 725 | $19,079.46 | $24.30 | $17,617.50 | $1,461.96 | Long |
| '85771P102 | STO | STATOIL AS | 3/3/2011 | 9/21/2009 | 168 | $4,518.09 | $22.47 | $3,774.96 | $743.13 | Long |
| '85771P102 | STO | STATOIL AS | 3/3/2011 | 11/18/2008 | 82 | $2,205.26 | $15.72 | $1,289.04 | $916.22 | Long |
| '501044101 | KR | KROGER CO | 3/4/2011 | 9/21/2009 | 248 | $5,766.42 | $20.50 | $5,084.00 | $682.42 | Long |
| '654624105 | NTT | NIPPON TEL | 3/4/2011 | 4/3/2009 | 184 | $4,586.24 | $19.13 | $3,519.99 | $1,066.25 | Long |
| '20825C104 | COP | CONOCOPHIL | 3/8/2011 | 1/21/2010 | 184 | $14,349.43 | $52.63 | $9,685.58 | $4,663.85 | Long |
| '20825C104 | COP | CONOCOPHIL | 3/8/2011 | 10/20/2009 | 82 | $6,394.86 | $73.72 | $6,045.04 | $349.82 | Long |
| '20825C104 | COP | CONOCOPHIL | 3/8/2011 | 9/21/2009 | 81 | $6,316.87 | $46.07 | $3,731.67 | $2,585.20 | Long |
| '82823L106 | SSRI | SILVER STA | 3/8/2011 | 2/25/2010 | 182 | $5,397.66 | $16.60 | $3,022.01 | $2,375.65 | Long |
| '717081103 | PFE | PFIZER INC | 3/14/2011 | 9/21/2009 | 534 | $10,564.89 | $16.63 | $8,880.42 | $1,684.47 | Long |

Luminous 3572
11/30/2011

| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '251566105 | DTEGY | DEUTSCHE T | 3/21/2011 | 9/21/2009 | 181 | $2,738.03 | $13.64 | $2,468.84 | $269.19 | Long |
| '251566105 | DTEGY | DEUTSCHE T | 3/21/2011 | 7/16/2009 | 161 | $2,435.48 | $11.56 | $1,861.16 | $574.32 | Long |
| '87927Y201 | TIA | TELECOM IT | 3/22/2011 | 9/21/2009 | 307 | $4,107.55 | $12.71 | $3,901.97 | $205.58 | Long |
| '87927Y201 | TIA | TELECOM IT | 3/22/2011 | 6/25/2008 | 520 | $6,957.41 | $16.59 | $8,628.90 | ($1,671.49) | Long |
| '87927Y201 | TIA | TELECOM IT | 3/24/2011 | 9/21/2009 | 373 | $4,955.17 | $12.71 | $4,740.83 | $214.34 | Long |
| '82823L106 | SSRI | SILVER STA | 3/25/2011 | 2/25/2010 | 177 | $5,186.02 | $16.60 | $2,938.98 | $2,247.04 | Long |
| '85771P102 | STO | STATOIL AS | 3/29/2011 | 9/21/2009 | 387 | $10,395.78 | $22.47 | $8,695.89 | $1,699.89 | Long |
| '20825C104 | COP | CONOCOPHIL | 3/31/2011 | 1/21/2010 | 39 | $3,135.55 | $52.63 | $2,052.92 | $1,082.63 | Long |
| '501044101 | KR | KROGER CO | 4/1/2011 | 9/21/2009 | 271 | $6,414.09 | $20.50 | $5,555.50 | $858.59 | Long |
| '651639106 | NEM | NEWMONT MN | 4/6/2011 | 9/21/2009 | 118 | $6,623.72 | $44.20 | $5,215.60 | $1,408.12 | Long |
| '71646E100 | PTR | PETROCHINA | 4/13/2011 | 9/21/2009 | 71 | $10,623.26 | $118.84 | $8,437.64 | $2,185.62 | Long |
| '001084102 | AGCO | AGCO CORP | 4/21/2011 | 9/21/2009 | 403 | $21,699.12 | $28.57 | $11,513.71 | $10,185.41 | Long |
| '29082A107 | ERJ | EMBRAER S | 4/26/2011 | 1/5/2010 | 214 | $6,945.30 | $23.09 | $4,942.54 | $2,002.76 | Long |
| '29082A107 | ERJ | EMBRAER S | 4/26/2011 | 11/16/2009 | 120 | $3,894.56 | $20.98 | $2,518.20 | $1,376.36 | Long |
| '501044101 | KR | KROGER CO | 4/26/2011 | 12/9/2009 | 344 | $8,348.72 | $19.78 | $6,807.62 | $1,541.10 | Long |
| '501044101 | KR | KROGER CO | 4/26/2011 | 12/8/2009 | 453 | $10,994.09 | $20.14 | $9,127.19 | $1,866.90 | Long |
| '501044101 | KR | KROGER CO | 4/26/2011 | 9/21/2009 | 64 | $1,553.25 | $20.50 | $1,312.00 | $241.25 | Long |
| '20441A102 | SBS | CIA SANEAM | 4/27/2011 | 11/18/2008 | 98 | $5,758.14 | $22.79 | $2,233.92 | $3,524.22 | Long |
| '251566105 | DTEGY | DEUTSCHE T | 4/27/2011 | 9/21/2009 | 655 | $10,545.29 | $13.64 | $8,934.20 | $1,611.09 | Long |
| '00817Y108 | AET | AETNA INC | 5/3/2011 | 4/27/2010 | 106 | $4,397.03 | $30.28 | $3,209.73 | $1,187.30 | Long |
| '902494103 | TSN | TYSON FOOD | 5/3/2011 | 9/21/2009 | 778 | $15,393.68 | $12.79 | $9,950.62 | $5,443.06 | Long |
| '031162100 | AMGN | AMGEN INC | 5/9/2011 | 10/20/2009 | 11 | $634.16 | $58.83 | $647.20 | ($13.04) | Long |
| '031162100 | AMGN | AMGEN INC | 5/9/2011 | 9/21/2009 | 120 | $6,918.14 | $62.17 | $7,460.40 | ($542.26) | Long |
| '654624105 | NTT | NIPPON TEL | 5/13/2011 | 9/21/2009 | 421 | $10,043.39 | $23.50 | $9,894.05 | $149.34 | Long |
| '654624105 | NTT | NIPPON TEL | 5/13/2011 | 7/29/2009 | 123 | $2,934.29 | $20.35 | $2,503.65 | $430.64 | Long |
| '654624105 | NTT | NIPPON TEL | 5/13/2011 | 4/3/2009 | 270 | $6,441.13 | $19.13 | $5,165.21 | $1,275.92 | Long |
| '345838106 | FRX | FOREST LAB | 5/20/2011 | 4/9/2010 | 387 | $13,660.83 | $28.17 | $10,903.84 | $2,756.99 | Long |
| '497350306 | KNBWY | KIRIN HOLD | 6/6/2011 | 9/21/2009 | 390 | $5,390.36 | $14.65 | $5,713.50 | ($323.14) | Long |
| '497350306 | KNBWY | KIRIN HOLD | 6/6/2011 | 5/6/2009 | 158 | $2,183.78 | $11.39 | $1,800.90 | $382.88 | Long |
| '345838106 | FRX | FOREST LAB | 6/15/2011 | 4/9/2010 | 26 | $1,001.24 | $28.17 | $732.56 | $268.68 | Long |
| '539830109 | LMT | LOCKHEED M | 6/17/2011 | 2/26/2010 | 45 | $3,592.81 | $74.41 | $3,348.67 | $244.14 | Long |
| '497350306 | KNBWY | KIRIN HOLD | 6/20/2011 | 9/21/2009 | 22 | $288.65 | $14.65 | $322.30 | ($33.65) | Long |
| '594918104 | MSFT | MICROSOFT | 6/29/2011 | 9/21/2009 | 167 | $4,276.98 | $25.25 | $4,216.75 | $60.23 | Long |
| '654624105 | NTT | NIPPON TEL | 7/21/2011 | 9/21/2009 | 486 | $12,111.59 | $23.50 | $11,421.63 | $689.96 | Long |

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| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '86562X106 | SUTNY | SUMITOMO M | 8/4/2011 | 9/21/2009 | 3,896.23 | $14,007.43 | $4.51 | $17,598.54 | ($3,591.11) | Long |
| '86562X106 | SUTNY | SUMITOMO M | 8/4/2011 | 9/23/2009 | 438.7712 | $1,577.46 | $3.53 | $1,549.00 | $28.46 | Long |
| '651639106 | NEM | NEWMONT MN | 8/8/2011 | 9/21/2009 | 307 | $17,437.82 | $44.20 | $13,569.40 | $3,868.42 | Long |
| '931142103 | WMT | WALMART ST | 8/10/2011 | | 48 | $0.00 | ($3.41) | ($3.41) | $3.41 | Long |
| '931142103 | WMT | WALMART ST | 8/10/2011 | 10/6/2009 | 48 | $2,366.35 | $49.37 | $2,369.76 | ($3.41) | Long |
| '931142103 | WMT | WALMART ST | 8/10/2011 | 10/1/2009 | 130 | $6,408.88 | $49.17 | $6,392.10 | $16.78 | Long |
| '931142103 | WMT | WALMART ST | 8/10/2011 | | 63 | $0.00 | ($78.15) | ($78.15) | $78.15 | Long |
| '931142103 | WMT | WALMART ST | 8/10/2011 | 9/21/2009 | 63 | $3,105.84 | $50.53 | $3,183.99 | ($78.15) | Long |
| '81783H105 | SVNDY | SEVEN & I | 8/16/2011 | 9/21/2009 | 267 | $13,991.43 | $46.00 | $12,282.00 | $1,709.43 | Long |
| '81783H105 | SVNDY | SEVEN & I | 8/16/2011 | 7/31/2009 | 127 | $6,655.10 | $46.53 | $5,910.40 | $744.70 | Long |
| '81783H105 | SVNDY | SEVEN & I | 8/16/2011 | 4/15/2009 | 36 | $1,886.49 | $43.55 | $1,567.80 | $318.69 | Long |
| '035128206 | AU | ANGLOGOLD | 8/22/2011 | 9/21/2009 | 31 | $1,427.62 | $41.98 | $1,301.38 | $126.24 | Long |
| '035128206 | AU | ANGLOGOLD | 8/22/2011 | 7/10/2008 | 45 | $2,072.35 | $24.61 | $1,107.66 | $964.69 | Long |
| '38059T106 | GFI | GOLD FIELD | 8/22/2011 | 9/21/2009 | 623 | $10,818.56 | $13.75 | $8,566.25 | $2,252.31 | Long |
| '38059T106 | GFI | GOLD FIELD | 8/22/2011 | 11/20/2008 | 57 | $989.82 | $5.50 | $313.50 | $676.32 | Long |
| '62942M201 | DCM | NTT DOCOMO | 8/22/2011 | 9/21/2009 | 3 | $54.40 | $16.22 | $48.66 | $5.74 | Long |
| '62942M201 | DCM | NTT DOCOMO | 8/22/2011 | 7/28/2009 | 552 | $10,009.05 | $14.49 | $7,999.37 | $2,009.68 | Long |
| '067901108 | ABX | BARRICK GO | 9/8/2011 | 4/16/2009 | 91 | $5,025.99 | $28.23 | $2,568.93 | $2,457.06 | Long |
| '594918104 | MSFT | MICROSOFT | 9/8/2011 | 9/21/2009 | 280 | $7,409.16 | $25.25 | $7,070.00 | $339.16 | Long |
| '539830109 | LMT | LOCKHEED M | 9/19/2011 | 8/18/2010 | 35 | $2,688.03 | $73.47 | $2,571.67 | $116.36 | Long |
| '539830109 | LMT | LOCKHEED M | 9/19/2011 | 8/16/2010 | 66 | $5,068.85 | $71.73 | $4,734.75 | $334.10 | Long |
| '151290889 | CX | CEMEX S.A. | 10/10/2011 | 9/1/2010 | 1,131.00 | $3,307.09 | $7.62 | $8,619.68 | ($5,312.59) | Long |
| '654624105 | NTT | NIPPON TEL | 10/10/2011 | 11/12/2009 | 65 | $1,580.62 | $20.89 | $1,358.35 | $222.27 | Long |
| '654624105 | NTT | NIPPON TEL | 10/10/2011 | 9/21/2009 | 128 | $3,112.60 | $23.50 | $3,008.17 | $104.43 | Long |
| '539830109 | LMT | LOCKHEED M | 10/14/2011 | 8/18/2010 | 137 | $10,423.47 | $73.47 | $10,066.24 | $357.23 | Long |
| '38059T106 | GFI | GOLD FIELD | 11/1/2011 | 9/21/2009 | 505 | $8,556.70 | $13.75 | $6,943.75 | $1,612.95 | Long |
| '931142103 | WMT | WALMART ST | 11/28/2011 | 10/6/2009 | 160 | $9,196.84 | $49.37 | $7,899.20 | $1,297.64 | Long |
| | | | | | | $631,744.37 | | $496,420.70 | $135,323.67 | |
| | | | | | | | | | | |
| '71646J109 | PZE | PETROBRAS | 12/3/2010 | 3/23/2010 | 151 | $3,076.16 | $16.18 | $2,443.30 | $632.86 | Short |
| '71646J109 | PZE | PETROBRAS | 12/3/2010 | 1/21/2010 | 96 | $1,955.71 | $16.83 | $1,616.27 | $339.44 | Short |
| '651191108 | NCMGY | NEWCREST M | 12/6/2010 | 5/21/2010 | 58.8808 | $2,385.89 | $26.04 | $1,533.54 | $852.35 | Short |
| '651191108 | NCMGY | NEWCREST M | 12/6/2010 | 4/14/2010 | 852.1191 | $34,528.38 | $32.00 | $27,273.10 | $7,255.28 | Short |
| '521050104 | LAYN | LAYNE CHRI | 12/9/2010 | 8/26/2010 | 351 | $11,787.29 | $24.77 | $8,694.27 | $3,093.02 | Short |

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| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '881609101 | TSO | TESORO COR | 12/9/2010 | 4/22/2010 | 1,245.00 | $21,397.33 | $12.92 | $16,097.60 | $5,299.73 | Short |
| '606827202 | MITSY | MITSUI & C | 12/10/2010 | 5/11/2010 | 15 | $4,858.53 | $299.80 | $4,497.00 | $361.53 | Short |
| '832248108 | SFD | SMITHFIELD | 12/16/2010 | 7/27/2010 | 415 | $8,334.34 | $14.89 | $6,182.42 | $2,151.92 | Short |
| '75281A109 | RRC | RANGE RESO | 12/17/2010 | 11/5/2010 | 231 | $9,828.42 | $38.92 | $8,992.08 | $836.34 | Short |
| '75281A109 | RRC | RANGE RESO | 12/17/2010 | 10/14/2010 | 224 | $9,530.59 | $37.06 | $8,303.13 | $1,227.46 | Short |
| '881609101 | TSO | TESORO COR | 1/10/2011 | 4/22/2010 | 708 | $13,438.61 | $12.92 | $9,154.30 | $4,284.31 | Short |
| 'G36738105 | FDP | FRESH DEL | 1/11/2011 | 5/25/2010 | 110 | $2,728.37 | $19.62 | $2,158.20 | $570.17 | Short |
| 'G36738105 | FDP | FRESH DEL | 1/11/2011 | 5/14/2010 | 175 | $4,340.59 | $21.44 | $3,752.14 | $588.45 | Short |
| '539830109 | LMT | LOCKHEED M | 1/21/2011 | 2/26/2010 | 93 | $7,390.24 | $74.41 | $6,920.57 | $469.67 | Short |
| '539830109 | LMT | LOCKHEED M | 1/21/2011 | 2/11/2010 | 59 | $4,688.43 | $73.12 | $4,314.33 | $374.10 | Short |
| '039483102 | ADM | ARCHER DAN | 2/1/2011 | 3/12/2010 | 120 | $4,144.85 | $28.63 | $3,436.46 | $708.39 | Short |
| '039483102 | ADM | ARCHER DAN | 2/1/2011 | 3/5/2010 | 50 | $1,727.02 | $30.38 | $1,519.45 | $207.57 | Short |
| 'G36738105 | FDP | FRESH DEL | 2/1/2011 | 5/25/2010 | 258 | $6,988.95 | $19.62 | $5,061.96 | $1,926.99 | Short |
| '368287207 | OGZPY | GAZPROM O | 2/1/2011 | 4/27/2010 | 205 | $5,700.93 | $23.61 | $4,840.98 | $859.95 | Short |
| '13321L108 | CCJ | CAMECO COR | 2/4/2011 | 4/6/2010 | 178 | $7,545.28 | $27.15 | $4,833.14 | $2,712.14 | Short |
| '654902204 | NOK | NOKIA OYJ | 2/4/2011 | 6/16/2010 | 817 | $9,020.32 | $8.85 | $7,238.55 | $1,781.77 | Short |
| '881609101 | TSO | TESORO COR | 2/4/2011 | 4/22/2010 | 610 | $12,761.09 | $12.92 | $7,887.18 | $4,873.91 | Short |
| '165167107 | CHK | CHESAPEAKE | 2/7/2011 | 10/27/2010 | 80 | $2,530.63 | $21.26 | $1,701.46 | $829.17 | Short |
| '165167107 | CHK | CHESAPEAKE | 2/7/2011 | 7/27/2010 | 504 | $15,943.03 | $21.04 | $10,608.44 | $5,334.59 | Short |
| '368287207 | OGZPY | GAZPROM O | 2/7/2011 | 5/12/2010 | 178 | $5,164.71 | $23.17 | $4,125.71 | $1,039.00 | Short |
| '368287207 | OGZPY | GAZPROM O | 2/7/2011 | 5/10/2010 | 123 | $3,568.88 | $23.44 | $2,883.99 | $684.89 | Short |
| '368287207 | OGZPY | GAZPROM O | 2/7/2011 | 6/9/2010 | 104 | $3,017.58 | $19.90 | $2,069.60 | $947.98 | Short |
| '368287207 | OGZPY | GAZPROM O | 2/7/2011 | 4/27/2010 | 167 | $4,845.55 | $23.61 | $3,943.63 | $901.92 | Short |
| '820280105 | SHAW | SHAW GROUP | 2/8/2011 | 10/20/2010 | 297 | $12,151.16 | $31.38 | $9,321.52 | $2,829.64 | Short |
| '867224107 | SU | SUNCOR ENE | 2/8/2011 | 5/7/2010 | 357 | $14,465.75 | $30.49 | $10,887.45 | $3,578.30 | Short |
| '867224107 | SU | SUNCOR ENE | 2/8/2011 | 3/11/2010 | 223 | $9,036.03 | $30.82 | $6,873.24 | $2,162.79 | Short |
| '278642103 | EBAY | EBAY INC | 2/9/2011 | 5/10/2010 | 324 | $10,361.38 | $22.13 | $7,170.12 | $3,191.26 | Short |
| '00817Y108 | AET | AETNA INC | 3/3/2011 | 4/27/2010 | 284 | $11,049.45 | $30.28 | $8,599.65 | $2,449.80 | Short |
| '867224107 | SU | SUNCOR ENE | 3/3/2011 | 5/7/2010 | 515 | $24,122.75 | $30.49 | $15,705.98 | $8,416.77 | Short |
| '15234Q207 | EBR | CENTRAIS E | 3/4/2011 | 3/4/2011 | 0 | $18.47 | $0.00 | $0.00 | $18.47 | Short |
| '15234Q108 | EBRB | CENTRAIS E | 3/4/2011 | 3/4/2011 | 0 | $13.48 | $0.00 | $0.00 | $13.48 | Short |
| '717081103 | PFE | PFIZER INC | 3/14/2011 | 6/24/2010 | 593 | $11,732.18 | $14.53 | $8,621.42 | $3,110.76 | Short |
| '717081103 | PFE | PFIZER INC | 3/14/2011 | 6/24/2010 | 459 | $9,081.06 | $14.48 | $6,650.68 | $2,430.38 | Short |
| '165167107 | CHK | CHESAPEAKE | 3/15/2011 | 12/8/2010 | 51 | $1,686.64 | $23.18 | $1,182.44 | $504.20 | Short |

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| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '165167107 | CHK | CHESAPEAKE | 3/15/2011 | 11/3/2010 | 184 | $6,085.17 | $22.24 | $4,093.64 | $1,991.53 | Short |
| '165167107 | CHK | CHESAPEAKE | 3/15/2011 | 10/27/2010 | 178 | $5,886.74 | $21.26 | $3,785.74 | $2,101.00 | Short |
| '368287207 | OGZPY | GAZPROM O | 3/15/2011 | 6/25/2010 | 275 | $8,178.26 | $19.88 | $5,468.42 | $2,709.84 | Short |
| '368287207 | OGZPY | GAZPROM O | 3/15/2011 | 6/9/2010 | 295 | $8,773.04 | $19.90 | $5,870.50 | $2,902.54 | Short |
| '881609101 | TSO | TESORO COR | 3/21/2011 | 4/22/2010 | 966 | $24,742.06 | $12.92 | $12,490.19 | $12,251.87 | Short |
| '85771P102 | STO | STATOIL AS | 3/29/2011 | 5/25/2010 | 42 | $1,128.22 | $18.49 | $776.98 | $351.24 | Short |
| '156708109 | | CEPHALON I | 3/30/2011 | 3/23/2011 | 181 | $13,640.80 | $56.02 | $10,139.62 | $3,501.18 | Short |
| '20825C104 | COP | CONOCOPHIL | 3/31/2011 | 4/5/2010 | 164 | $13,185.37 | $53.12 | $8,713.10 | $4,472.27 | Short |
| '151290889 | CX | CEMEX S.A. | 4/1/2011 | 4/1/2011 | 0 | $4.74 | $0.00 | $0.00 | $4.74 | Short |
| '86562X106 | SUTNY | SUMITOMO M | 4/4/2011 | 4/4/2011 | 0 | $1.14 | $0.00 | $0.00 | $1.14 | Short |
| '532457108 | LLY | LILLY ELI | 4/6/2011 | 8/17/2010 | 130 | $4,642.61 | $34.69 | $4,510.03 | $132.58 | Short |
| '958102105 | WDC | WESTERN DI | 4/13/2011 | 10/7/2010 | 382 | $14,379.84 | $28.39 | $10,845.82 | $3,534.02 | Short |
| '820280105 | SHAW | SHAW GROUP | 4/14/2011 | 3/31/2011 | 293 | $10,423.09 | $35.46 | $10,391.42 | $31.67 | Short |
| '651191108 | NCMGY | NEWCREST M | 4/28/2011 | 5/21/2010 | 209 | $9,599.85 | $26.04 | $5,443.38 | $4,156.47 | Short |
| '00817Y108 | AET | AETNA INC | 5/3/2011 | 12/13/2010 | 35 | $1,451.85 | $30.89 | $1,081.17 | $370.68 | Short |
| '00817Y108 | AET | AETNA INC | 5/3/2011 | 5/21/2010 | 155 | $6,429.63 | $28.88 | $4,477.87 | $1,951.76 | Short |
| '902494103 | TSN | TYSON FOOD | 5/3/2011 | 8/16/2010 | 335 | $6,628.38 | $16.70 | $5,594.50 | $1,033.88 | Short |
| '242370104 | DF | DEAN FOODS | 5/10/2011 | 1/7/2011 | 554 | $6,846.86 | $9.10 | $5,042.56 | $1,804.30 | Short |
| '532457108 | LLY | LILLY ELI | 5/20/2011 | 8/17/2010 | 220 | $8,459.09 | $34.69 | $7,632.35 | $826.74 | Short |
| '345838106 | FRX | FOREST LAB | 6/15/2011 | 3/2/2011 | 155 | $5,968.93 | $31.97 | $4,956.26 | $1,012.67 | Short |
| '539830109 | LMT | LOCKHEED M | 6/17/2011 | 8/16/2010 | 26 | $2,075.85 | $71.73 | $1,865.21 | $210.64 | Short |
| '82929R304 | SGAPY | SINGAPORE | 6/17/2011 | 12/6/2010 | 284 | $6,887.43 | $24.04 | $6,829.60 | $57.83 | Short |
| '497350306 | KNBWY | KIRIN HOLD | 6/20/2011 | 6/29/2010 | 663 | $8,698.99 | $13.01 | $8,630.87 | $68.12 | Short |
| '82929R304 | SGAPY | SINGAPORE | 6/20/2011 | 12/6/2010 | 367 | $8,926.54 | $24.04 | $8,825.58 | $100.96 | Short |
| '497350306 | KNBWY | KIRIN HOLD | 6/21/2011 | 6/29/2010 | 61 | $800.91 | $13.01 | $794.09 | $6.82 | Short |
| '82929R304 | SGAPY | SINGAPORE | 6/24/2011 | 1/12/2011 | 56 | $1,399.97 | $24.03 | $1,345.75 | $54.22 | Short |
| '82929R304 | SGAPY | SINGAPORE | 6/24/2011 | 1/12/2011 | 387 | $9,737.31 | $24.03 | $9,300.12 | $437.19 | Short |
| '82929R304 | SGAPY | SINGAPORE | 6/24/2011 | 12/6/2010 | 173 | $4,352.85 | $24.04 | $4,160.29 | $192.56 | Short |
| '641069406 | NSRGY | NESTLE SA | 6/29/2011 | 2/9/2011 | 196 | $12,116.46 | $52.84 | $10,356.64 | $1,759.82 | Short |
| '30161N101 | EXC | EXELON COR | 7/8/2011 | 2/7/2011 | 339 | $14,662.27 | $43.12 | $14,620.70 | $41.57 | Short |
| '532457108 | LLY | LILLY ELI | 7/21/2011 | 12/7/2010 | 233 | $9,021.75 | $33.90 | $7,901.02 | $1,120.73 | Short |
| '532457108 | LLY | LILLY ELI | 7/21/2011 | 8/17/2010 | 150 | $5,807.99 | $34.69 | $5,203.88 | $604.11 | Short |
| '30161N101 | EXC | EXELON COR | 7/25/2011 | 2/7/2011 | 239 | $10,583.38 | $43.12 | $10,307.80 | $275.58 | Short |
| '30161N101 | EXC | EXELON COR | 7/26/2011 | 2/7/2011 | 245 | $10,788.37 | $43.12 | $10,566.58 | $221.79 | Short |

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| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '73180Y203 | PLZLY | POLYUS GOL | 7/26/2011 | 7/26/2011 | 0 | $1.15 | $0.00 | $0.00 | $1.15 | Short |
| '165167107 | CHK | CHESAPEAKE | 8/2/2011 | 12/8/2010 | 618 | $21,575.77 | $23.18 | $14,328.33 | $7,247.44 | Short |
| '718252604 | PHI | PHILIPPINE | 8/10/2011 | 3/25/2011 | 90 | $4,706.87 | $46.60 | $4,194.84 | $512.03 | Short |
| '718252604 | PHI | PHILIPPINE | 8/11/2011 | 3/28/2011 | 90 | $4,715.79 | $47.12 | $4,241.03 | $474.76 | Short |
| '718252604 | PHI | PHILIPPINE | 8/11/2011 | 3/25/2011 | 40 | $2,095.91 | $46.60 | $1,864.38 | $231.53 | Short |
| '532457108 | LLY | LILLY ELI | 8/23/2011 | 12/7/2010 | 294 | $10,507.65 | $33.90 | $9,969.52 | $538.13 | Short |
| '273202101 | EJPRY | EAST JAPAN | 8/24/2011 | 3/2/2011 | 104 | $1,014.26 | $11.65 | $1,212.63 | ($198.37) | Short |
| '273202101 | EJPRY | EAST JAPAN | 8/24/2011 | 2/23/2011 | 933 | $9,099.09 | $11.52 | $10,753.29 | ($1,654.20) | Short |
| '594918104 | MSFT | MICROSOFT | 9/8/2011 | 3/14/2011 | 284 | $7,515.01 | $25.50 | $7,244.52 | $270.49 | Short |
| '00817Y108 | AET | AETNA INC | 9/14/2011 | 12/13/2010 | 275 | $11,113.12 | $30.89 | $8,494.94 | $2,618.18 | Short |
| '594918104 | MSFT | MICROSOFT | 9/14/2011 | 3/14/2011 | 391 | $10,342.18 | $25.50 | $9,973.97 | $368.21 | Short |
| '30161N101 | EXC | EXELON COR | 10/3/2011 | 5/2/2011 | 542 | $22,471.34 | $41.66 | $22,584.01 | ($112.67) | Short |
| '30161N101 | EXC | EXELON COR | 10/3/2011 | 3/14/2011 | 264 | $10,945.45 | $42.69 | $11,272.35 | ($326 90) | Short |
| '30161N101 | EXC | EXELON COR | 10/3/2011 | 2/7/2011 | 146 | $6,053.17 | $43.12 | $6,296.82 | ($243.65) | Short |
| '953432101 | WJRYY | WEST JAPAN | 10/4/2011 | 3/1/2011 | 47 | $2,068.53 | $41.26 | $1,939.65 | $128.88 | Short |
| '953432101 | WJRYY | WEST JAPAN | 10/4/2011 | 2/22/2011 | 259 | $11,398.94 | $39.64 | $10,269.04 | $1,129.90 | Short |
| '086516101 | BBY | BEST BUY I | 10/10/2011 | 4/1/2011 | 182 | $4,559.19 | $28.74 | $5,232.06 | ($672.87) | Short |
| '25179M103 | DVN | DEVON ENER | 10/11/2011 | 10/4/2011 | 92 | $5,430.91 | $52.71 | $4,849.43 | $581.48 | Short |
| '532457108 | LLY | LILLY ELI | 10/11/2011 | 1/11/2011 | 36 | $1,358.30 | $34.90 | $1,256.40 | $101.90 | Short |
| '532457108 | LLY | LILLY ELI | 10/11/2011 | 12/7/2010 | 134 | $5,055.91 | $33.90 | $4,543.93 | $511.98 | Short |
| '42809H107 | HES | HESS CORP | 10/12/2011 | 10/3/2011 | 102 | $5,695.22 | $49.84 | $5,084.28 | $610.94 | Short |
| '594918104 | MSFT | MICROSOFT | 10/12/2011 | 3/31/2011 | 333 | $9,054.16 | $25.49 | $8,489.28 | $564.88 | Short |
| '594918104 | MSFT | MICROSOFT | 10/12/2011 | 3/14/2011 | 103 | $2,800.53 | $25.50 | $2,627.42 | $173.11 | Short |
| '852278100 | STBMY | ST BARBARA | 10/14/2011 | 5/20/2011 | 528 | $5,857.72 | $9.66 | $5,103.49 | $754.23 | Short |
| '086516101 | BBY | BEST BUY I | 10/20/2011 | 4/1/2011 | 329 | $8,406.92 | $28.74 | $9,457.96 | ($1,051.04) | Short |
| '00817Y108 | AET | AETNA INC | 10/24/2011 | 12/13/2010 | 237 | $9,142.92 | $30.89 | $7,321.10 | $1,821.82 | Short |
| '225401108 | CS | CREDIT SUI | 10/28/2011 | 9/12/2011 | 148 | $4,608.64 | $22.31 | $3,303.35 | $1,305.29 | Short |
| '42809H107 | HES | HESS CORP | 11/2/2011 | 10/3/2011 | 169 | $10,108.69 | $49.84 | $8,423.96 | $1,684.73 | Short |
| '25179M103 | DVN | DEVON ENER | 11/3/2011 | 10/4/2011 | 159 | $10,441.33 | $52.71 | $8,381.08 | $2,060.25 | Short |
| 'G0692U109 | AXS | AXIS CAPIT | 11/7/2011 | 3/25/2011 | 300 | $9,429.02 | $33.15 | $9,947.52 | ($518.50) | Short |
| '466294972 | | JSC RUSHYD | 11/14/2011 | 10/7/2011 | 8,105.00 | $0.00 | $0.00 | $0.00 | $0.00 | Short |
| 'G30397106 | ENH | ENDURANCE | 11/28/2011 | 6/6/2011 | 263 | $9,523.98 | $39.87 | $10,486.39 | ($962.41) | Short |
| | | | | | | $826,359.46 | | $678,263.95 | $148,095.51 | |

# Realized Gain/Loss Statement:

## Luminous 0990

Luminous 0990
11/30/2011

| CUSIP/SEDOL | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|
| '912828KY5 | UNITED STA | 12/1/2010 | 8/28/2009 | 90,000.00 | $94,940.73 | $1.00 | $90,772.26 | $4,168.47 | Long |
| '002824AT7 | ABBOTT LAB | 12/9/2010 | 1/21/2009 | 40,000.00 | $46,168.00 | $1.07 | $43,111.93 | $3,056.07 | Long |
| '046353AB4 | ASTRAZENEC | 12/9/2010 | 1/21/2009 | 40,000.00 | $46,087.20 | $1.08 | $43,379.52 | $2,707.68 | Long |
| '10138MAH8 | BOTTLING G | 12/9/2010 | 2/9/2009 | 25,000.00 | $28,795.25 | $1.07 | $27,737.35 | $1,057.90 | Long |
| '136385AK7 | CANADIAN N | 12/9/2010 | 1/21/2009 | 40,000.00 | $45,004.40 | $0.88 | $35,534.92 | $9,469.48 | Long |
| '14912L4E8 | CATERPILLA | 12/9/2010 | 9/10/2009 | 25,000.00 | $30,726.25 | $1.14 | $28,661.67 | $2,064.58 | Long |
| '17275RAE2 | CISCO SYS | 12/9/2010 | 9/10/2009 | 10,000.00 | $10,865.40 | $1.06 | $10,534.34 | $331.06 | Long |
| '20030NAU5 | COMCAST CO | 12/9/2010 | 1/21/2009 | 35,000.00 | $39,974.55 | $1.01 | $35,382.42 | $4,592.13 | Long |
| '20825CAS3 | CONOCOPHIL | 12/9/2010 | 2/4/2009 | 25,000.00 | $27,121.50 | $1.01 | $25,289.31 | $1,832.19 | Long |
| '126650BH2 | CVS CAREMA | 12/9/2010 | 1/21/2009 | 55,000.00 | $61,243.60 | $1.01 | $55,612.85 | $5,630.75 | Long |
| '233835AW7 | DAIMLER CH | 12/9/2010 | 2/3/2009 | 40,000.00 | $45,180.80 | $0.97 | $39,474.20 | $5,706.60 | Long |
| '244217BG9 | DEERE JOHN | 12/9/2010 | 1/26/2009 | 30,000.00 | $32,235.30 | $1.04 | $31,257.74 | $977.56 | Long |
| '30161NAD3 | EXELON COR | 12/9/2010 | 1/22/2009 | 50,000.00 | $53,310.00 | $0.89 | $46,271.28 | $7,038.72 | Long |
| '31359M7X5 | FEDERAL NA | 12/9/2010 | 1/21/2009 | 75,000.00 | $84,752.25 | $1.09 | $82,116.93 | $2,635.32 | Long |
| '36962G3K8 | GENERAL EL | 12/9/2010 | 1/21/2009 | 50,000.00 | $53,372.50 | $1.00 | $50,337.88 | $3,034.62 | Long |
| '377372AD9 | GLAXOSMITH | 12/9/2010 | 2/2/2009 | 40,000.00 | $45,710.00 | $1.06 | $43,164.94 | $2,545.06 | Long |
| '38141GEA8 | GOLDMAN SA | 12/9/2010 | 1/21/2009 | 24,000.00 | $25,632.24 | $0.91 | $22,622.01 | $3,010.23 | Long |
| '459200BA8 | INTERNATIO | 12/9/2010 | 1/21/2009 | 35,000.00 | $37,494.10 | $1.01 | $36,284.07 | $1,210.03 | Long |
| '46625HCE8 | JPMORGAN C | 12/9/2010 | 1/21/2009 | 60,000.00 | $63,548.40 | $1.00 | $60,554.85 | $2,993.55 | Long |
| '565849AD8 | MARATHON O | 12/9/2010 | 1/21/2009 | 45,000.00 | $50,595.30 | $0.95 | $43,427.03 | $7,168.27 | Long |
| '652482BG4 | NEWS AMER | 12/9/2010 | 2/6/2009 | 25,000.00 | $27,522.50 | $0.98 | $24,678.96 | $2,843.54 | Long |
| '717081DB6 | PFIZER INC | 12/9/2010 | 3/19/2009 | 44,000.00 | $52,034.40 | $1.04 | $46,229.00 | $5,805.40 | Long |
| '500472AB1 | PHILIPS EL | 12/9/2010 | 2/10/2009 | 25,000.00 | $27,884.50 | $0.96 | $24,226.45 | $3,658.05 | Long |
| '88732JAP3 | TIME WARNE | 12/9/2010 | 2/3/2009 | 25,000.00 | $31,520.75 | $1.11 | $27,921.06 | $3,599.69 | Long |
| '911312AH9 | UNITED PAR | 12/9/2010 | 1/21/2009 | 40,000.00 | $45,148.00 | $1.06 | $42,740.39 | $2,407.61 | Long |
| '912828KY5 | UNITED STA | 12/9/2010 | 9/29/2009 | 670,000.00 | $701,493.35 | $1.01 | $679,210.72 | $22,282.63 | Long |
| '912828KY5 | UNITED STA | 12/9/2010 | 8/28/2009 | 30,000.00 | $31,045.71 | $1.00 | $30,255.93 | $789.78 | Long |
| '912828GD6 | UNITED STA | 12/9/2010 | 1/21/2009 | 110,000.00 | $132,387.70 | $1.09 | $120,272.05 | $12,115.65 | Long |
| '912828AU4 | UNITED STA | 12/9/2010 | 1/21/2009 | 77,000.00 | $82,304.23 | $1.05 | $81,539.03 | $765.20 | Long |
| '92343VAL8 | VERIZON CO | 12/9/2010 | 9/10/2009 | 25,000.00 | $27,555.00 | $1.05 | $26,447.50 | $1,107.50 | Long |
| '931142CJ0 | WAL-MART S | 12/9/2010 | 1/21/2009 | 30,000.00 | $34,371.90 | $1.09 | $32,916.02 | $1,455.88 | Long |
| '912828KY5 | UNITED STA | 2/9/2011 | 9/29/2009 | 85,000.00 | $87,815.63 | $1.01 | $86,115.45 | $1,700.18 | Long |

Luminous 0990
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| CUSIP/SEDOL | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|
| '912828KY5 | UNITED STA | 3/16/2011 | 9/29/2009 | 81,000.00 | $84,853.83 | $1.01 | $82,033.66 | $2,820.17 | Long |
| '002824AT7 | ABBOTT LAB | 3/21/2011 | 1/21/2009 | 25,000.00 | $28,763.75 | $1.07 | $26,855.55 | $1,908.20 | Long |
| '046353AB4 | ASTRAZENEC | 3/21/2011 | 1/21/2009 | 30,000.00 | $34,360.80 | $1.08 | $32,534.64 | $1,826.16 | Long |
| '10138MAH8 | BOTTLING G | 3/21/2011 | 2/9/2009 | 20,000.00 | $23,086.40 | $1.10 | $22,012.50 | $1,073.90 | Long |
| '136385AK7 | CANADIAN N | 3/21/2011 | 1/21/2009 | 25,000.00 | $28,053.00 | $0.88 | $22,209.33 | $5,843.67 | Long |
| '14912L4E8 | CATERPILLA | 3/21/2011 | 9/10/2009 | 20,000.00 | $24,574.40 | $1.14 | $22,847.83 | $1,726.57 | Long |
| '17275RAE2 | CISCO SYS | 3/21/2011 | 9/10/2009 | 30,000.00 | $32,311.20 | $1.05 | $31,556.95 | $754.25 | Long |
| '20030NAU5 | COMCAST CO | 3/21/2011 | 1/21/2009 | 20,000.00 | $22,781.40 | $1.01 | $20,211.38 | $2,570.02 | Long |
| '20825CAS3 | CONOCOPHIL | 3/21/2011 | 2/4/2009 | 20,000.00 | $21,789.40 | $1.01 | $20,212.13 | $1,577.27 | Long |
| '126650BH2 | CVS CAREMA | 3/21/2011 | 1/21/2009 | 30,000.00 | $33,343.20 | $1.01 | $30,322.16 | $3,021.04 | Long |
| '233835AW7 | DAIMLER CH | 3/21/2011 | 2/3/2009 | 50,000.00 | $55,971.50 | $0.98 | $49,405.28 | $6,566.22 | Long |
| '244217BG9 | DEERE JOHN | 3/21/2011 | 1/26/2009 | 25,000.00 | $26,550.00 | $1.03 | $25,820.21 | $729.79 | Long |
| '30161NAD3 | EXELON COR | 3/21/2011 | 1/22/2009 | 15,000.00 | $15,883.35 | $0.93 | $13,414.20 | $2,469.15 | Long |
| '3134A4QD9 | FEDERAL HO | 3/21/2011 | 1/21/2009 | 400,000.00 | $423,800.00 | $1.04 | $417,028.10 | $6,771.90 | Long |
| '36962G3K8 | GENERAL EL | 3/21/2011 | 1/21/2009 | 50,000.00 | $53,085.50 | $1.00 | $50,289.03 | $2,796.47 | Long |
| '377372AD9 | GLAXOSMITH | 3/21/2011 | 2/2/2009 | 30,000.00 | $33,883.20 | $1.07 | $32,297.81 | $1,585.39 | Long |
| '38141GEA8 | GOLDMAN SA | 3/21/2011 | 1/21/2009 | 25,000.00 | $26,829.00 | $0.94 | $23,662.18 | $3,166.82 | Long |
| '459200BA8 | INTERNATIO | 3/21/2011 | 1/21/2009 | 25,000.00 | $26,595.50 | $1.03 | $25,789.86 | $805.64 | Long |
| '46625HCE8 | JPMORGAN C | 3/21/2011 | 1/21/2009 | 50,000.00 | $53,528.50 | $1.00 | $50,434.56 | $3,093.94 | Long |
| '50075NBA1 | KRAFT FOOD | 3/21/2011 | 2/17/2010 | 30,000.00 | $31,992.00 | $1.01 | $30,445.42 | $1,546.58 | Long |
| '565849AD8 | MARATHON O | 3/21/2011 | 1/21/2009 | 20,000.00 | $22,566.40 | $0.96 | $19,329.47 | $3,236.93 | Long |
| '652482BG4 | NEWS AMER | 3/21/2011 | 2/6/2009 | 20,000.00 | $22,046.40 | $0.98 | $19,760.99 | $2,285.41 | Long |
| '717081DB6 | PFIZER INC | 3/21/2011 | 3/19/2009 | 30,000.00 | $34,716.30 | $1.04 | $31,478.98 | $3,237.32 | Long |
| '500472AB1 | PHILIPS EL | 3/21/2011 | 2/10/2009 | 20,000.00 | $22,530.20 | $0.96 | $19,381.16 | $3,149.04 | Long |
| '88732JAP3 | TIME WARNE | 3/21/2011 | 2/3/2009 | 20,000.00 | $25,118.40 | $1.11 | $22,276.75 | $2,841.65 | Long |
| '911312AH9 | UNITED PAR | 3/21/2011 | 1/21/2009 | 25,000.00 | $28,151.75 | $1.06 | $26,654.90 | $1,496.85 | Long |
| '912828KQ2 | UNITED STA | 3/21/2011 | 2/1/2010 | 83,000.00 | $84,825.70 | $0.96 | $79,925.76 | $4,899.94 | Long |
| '912828KQ2 | UNITED STA | 3/21/2011 | 12/31/2009 | 92,000.00 | $91,896.96 | $0.95 | $86,973.76 | $4,923.20 | Long |
| '912828HE3 | UNITED STA | 3/21/2011 | 9/24/2009 | 59,000.00 | $62,277.27 | $1.04 | $61,577.28 | $699.99 | Long |
| '912828GD6 | UNITED STA | 3/21/2011 | 1/21/2009 | 150,000.00 | $186,042.68 | $1.12 | $169,049.92 | $16,992.76 | Long |
| '912828FU9 | UNITED STA | 3/21/2011 | 8/17/2009 | 200,000.00 | $200,128.80 | $1.01 | $203,578.19 | ($3,449.39) | Long |
| '92343VAL8 | VERIZON CO | 3/21/2011 | 9/10/2009 | 20,000.00 | $21,935.80 | $1.05 | $21,119.77 | $816.03 | Long |

Luminous 0990
11/30/2011

| CUSIP/SEDOL | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|
| '931142CJ0 | WAL-MART S | 3/21/2011 | 1/21/2009 | 25,000.00 | $28,574.25 | $1.09 | $27,348.84 | $1,225.41 | Long |
| '565849AD8 | MARATHON O | 4/14/2011 | 1/21/2009 | 55,000.00 | $61,636.85 | $0.96 | $53,175.69 | $8,461.16 | Long |
| '38141GEA8 | GOLDMAN SA | 5/3/2011 | 1/21/2009 | 65,000.00 | $70,245.50 | $0.94 | $61,628.21 | $8,617.29 | Long |
| '002824AT7 | ABBOTT LAB | 5/4/2011 | 1/21/2009 | 40,000.00 | $46,236.00 | $1.07 | $42,904.51 | $3,331.49 | Long |
| '046353AB4 | ASTRAZENEC | 5/4/2011 | 1/21/2009 | 30,000.00 | $34,728.30 | $1.08 | $32,534.64 | $2,193.66 | Long |
| '10138MAH8 | BOTTLING G | 5/4/2011 | 2/9/2009 | 25,000.00 | $28,818.00 | $1.09 | $27,414.32 | $1,403.68 | Long |
| '136385AK7 | CANADIAN N | 5/4/2011 | 1/21/2009 | 35,000.00 | $39,472.30 | $0.88 | $31,093.02 | $8,379.28 | Long |
| '14912L4E8 | CATERPILLA | 5/4/2011 | 9/10/2009 | 25,000.00 | $30,956.45 | $1.14 | $28,513.25 | $2,443.20 | Long |
| '17275RAE2 | CISCO SYS | 5/4/2011 | 9/10/2009 | 25,000.00 | $27,184.00 | $1.05 | $26,279.97 | $904.03 | Long |
| '20030NAU5 | COMCAST CO | 5/4/2011 | 1/21/2009 | 25,000.00 | $28,685.00 | $1.01 | $25,260.20 | $3,424.80 | Long |
| '20825CAS3 | CONOCOPHIL | 5/4/2011 | 2/4/2009 | 20,000.00 | $21,787.80 | $1.01 | $20,203.35 | $1,584.45 | Long |
| '126650BH2 | CVS CAREMA | 5/4/2011 | 1/21/2009 | 30,000.00 | $33,551.40 | $1.01 | $30,316.71 | $3,234.69 | Long |
| '233835AW7 | DAIMLER CH | 5/4/2011 | 2/3/2009 | 45,000.00 | $50,224.95 | $0.98 | $44,490.08 | $5,734.87 | Long |
| '244217BG9 | DEERE JOHN | 5/4/2011 | 1/26/2009 | 45,000.00 | $47,429.55 | $1.02 | $46,288.81 | $1,140.74 | Long |
| '30161NAD3 | EXELON COR | 5/4/2011 | 1/22/2009 | 25,000.00 | $26,688.25 | $0.93 | $22,357.00 | $4,331.25 | Long |
| '36962G3K8 | GENERAL EL | 5/4/2011 | 1/21/2009 | 40,000.00 | $42,388.80 | $1.00 | $40,213.45 | $2,175.35 | Long |
| '377372AD9 | GLAXOSMITH | 5/4/2011 | 2/2/2009 | 30,000.00 | $34,030.80 | $1.07 | $32,263.67 | $1,767.13 | Long |
| '459200BA8 | INTERNATIO | 5/4/2011 | 1/21/2009 | 45,000.00 | $47,763.45 | $1.02 | $46,318.61 | $1,444.84 | Long |
| '46625HCE8 | JPMORGAN C | 5/4/2011 | 1/21/2009 | 40,000.00 | $43,104.80 | $1.00 | $40,337.46 | $2,767.34 | Long |
| '50075NBA1 | KRAFT FOOD | 5/4/2011 | 2/17/2010 | 25,000.00 | $27,102.50 | $1.01 | $25,367.02 | $1,735.48 | Long |
| '652482BG4 | NEWS AMER | 5/4/2011 | 2/6/2009 | 5,000.00 | $5,552.15 | $0.98 | $4,942.25 | $609.90 | Long |
| '717081DB6 | PFIZER INC | 5/4/2011 | 3/19/2009 | 30,000.00 | $35,064.30 | $1.04 | $31,460.18 | $3,604.12 | Long |
| '500472AB1 | PHILIPS EL | 5/4/2011 | 2/10/2009 | 20,000.00 | $22,645.00 | $0.96 | $19,381.16 | $3,263.84 | Long |
| '88732JAP3 | TIME WARNE | 5/4/2011 | 2/3/2009 | 25,000.00 | $31,758.50 | $1.11 | $27,811.45 | $3,947.05 | Long |
| '911312AH9 | UNITED PAR | 5/4/2011 | 1/21/2009 | 35,000.00 | $39,631.90 | $1.06 | $37,280.16 | $2,351.74 | Long |
| '912828KY5 | UNITED STA | 5/4/2011 | 3/1/2010 | 69,000.00 | $73,336.08 | $1.02 | $70,405.45 | $2,930.63 | Long |
| '912828KY5 | UNITED STA | 5/4/2011 | 2/1/2010 | 1,000.00 | $1,038.67 | $1.01 | $1,016.83 | $21.84 | Long |
| '912828KY5 | UNITED STA | 5/4/2011 | 9/29/2009 | 114,000.00 | $118,408.38 | $1.01 | $115,397.06 | $3,011.32 | Long |
| '912828KQ2 | UNITED STA | 5/4/2011 | 3/31/2010 | 155,000.00 | $155,666.66 | $0.95 | $147,717.15 | $7,949.51 | Long |
| '912828KQ2 | UNITED STA | 5/4/2011 | 3/1/2010 | 45,000.00 | $45,193.55 | $0.97 | $43,592.46 | $1,601.09 | Long |
| '912828KQ2 | UNITED STA | 5/4/2011 | 2/1/2010 | 21,000.00 | $21,090.32 | $0.96 | $20,222.26 | $868.06 | Long |
| '912828GD6 | UNITED STA | 5/4/2011 | 1/21/2009 | 100,000.00 | $126,369.43 | $1.12 | $112,681.61 | $13,687.82 | Long |

Luminous 0990
11/30/2011

| CUSIP/SEDOL | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|
| '9128277L0 | UNITED STA | 5/4/2011 | 9/10/2009 | 200,000.00 | $207,226.56 | $1.03 | $206,013.96 | $1,212.60 | Long |
| '92343VAL8 | VERIZON CO | 5/4/2011 | 9/10/2009 | 20,000.00 | $22,220.40 | $1.05 | $21,102.32 | $1,118.08 | Long |
| '931142CJ0 | WAL-MART S | 5/4/2011 | 1/21/2009 | 40,000.00 | $45,865.60 | $1.09 | $43,698.95 | $2,166.65 | Long |
| '912828KY5 | UNITED STA | 5/19/2011 | 3/1/2010 | 94,000.00 | $98,582.50 | $1.02 | $95,890.35 | $2,692.15 | Long |
| '912828KQ2 | UNITED STA | 6/24/2011 | 5/28/2010 | 100,000.00 | $105,312.50 | $0.99 | $99,046.20 | $6,266.30 | Long |
| '17275RAE2 | CISCO SYS | 6/28/2011 | 9/10/2009 | 35,000.00 | $37,934.40 | $1.05 | $36,763.67 | $1,170.73 | Long |
| '500472AB1 | PHILIPS EL | 6/28/2011 | 2/10/2009 | 35,000.00 | $39,140.50 | $0.96 | $33,917.06 | $5,223.44 | Long |
| '652482BG4 | NEWS AMER | 7/15/2011 | 2/6/2009 | 50,000.00 | $55,450.00 | $0.98 | $49,454.17 | $5,995.83 | Long |
| '912828GD6 | UNITED STA | 7/29/2011 | 1/21/2009 | 150,000.00 | $195,543.01 | $1.13 | $170,740.01 | $24,803.00 | Long |
| | | | | | $6,341,753.39 | | $5,957,413.29 | $384,340.10 | |
| | | | | | | | | | |
| '9128276T4 | UNITED STA | 12/1/2010 | 7/19/2010 | 250,000.00 | $252,246.10 | $1.02 | $256,922.50 | ($4,676.40) | Short |
| '437076AT9 | HOME DEPOT | 12/9/2010 | 9/9/2010 | 30,000.00 | $29,389.50 | $1.00 | $30,179.13 | ($789.63) | Short |
| '887317AF2 | TIME WARNE | 12/9/2010 | 8/13/2010 | 21,000.00 | $21,942.06 | $1.06 | $22,560.76 | ($618.70) | Short |
| '912828MA5 | UNITED STA | 12/9/2010 | 5/10/2010 | 19,000.00 | $19,445.77 | $0.99 | $18,810.00 | $635.77 | Short |
| '9128276T4 | UNITED STA | 12/9/2010 | 9/15/2010 | 428,000.00 | $432,053.06 | $1.02 | $436,827.50 | ($4,774.44) | Short |
| '9128276T4 | UNITED STA | 12/9/2010 | 7/19/2010 | 32,000.00 | $31,756.32 | $1.02 | $32,886.10 | ($1,129.78) | Short |
| '31292K7K7 | FEDL HOME | 1/15/2011 | 12/1/2010 | 0 | $3,056.34 | $0.00 | $3,084.99 | ($28.65) | Short |
| '9128276T4 | UNITED STA | 1/31/2011 | 9/15/2010 | 5,000.00 | $5,006.84 | $1.02 | $5,103.13 | ($96.29) | Short |
| '31292K7K7 | FEDL HOME | 2/15/2011 | 12/1/2010 | 0 | $1,953.56 | $0.00 | $1,971.87 | ($18.31) | Short |
| '9128276T4 | UNITED STA | 2/15/2011 | 9/15/2010 | 1,145,000.00 | $1,145,000.00 | $1.02 | $1,168,615.62 | ($23,615.62) | Short |
| '31292K7K7 | FEDL HOME | 3/15/2011 | 12/1/2010 | 0 | $884.30 | $0.00 | $892.59 | ($8.29) | Short |
| '25459HAY1 | DIRECTV HL | 3/21/2011 | 3/16/2011 | 21,000.00 | $21,125.79 | $1.01 | $21,349.91 | ($224.12) | Short |
| '31292K7K7 | FEDL HOME | 3/21/2011 | 12/1/2010 | 228,093.00 | $219,598.51 | $0.99 | $226,456.20 | ($6,857.69) | Short |
| '437076AT9 | HOME DEPOT | 3/21/2011 | 9/9/2010 | 20,000.00 | $19,721.80 | $1.00 | $20,116.61 | ($394.81) | Short |
| '87938WAN3 | TELEFONICA | 3/21/2011 | 2/9/2011 | 20,000.00 | $20,069.80 | $0.99 | $19,986.20 | $83.60 | Short |
| '887317AF2 | TIME WARNE | 3/21/2011 | 8/13/2010 | 25,000.00 | $25,755.50 | $1.07 | $26,811.57 | ($1,056.07) | Short |
| '912828MA5 | UNITED STA | 3/21/2011 | 5/10/2010 | 91,000.00 | $92,962.19 | $0.99 | $90,090.00 | $2,872.19 | Short |
| '912828FU9 | UNITED STA | 3/21/2011 | 2/15/2011 | 100,000.00 | $106,480.58 | $1.02 | $102,687.50 | $3,793.08 | Short |
| '912828FU9 | UNITED STA | 3/31/2011 | 2/15/2011 | 25,000.00 | $25,526.64 | $1.02 | $25,671.88 | ($145.24) | Short |
| '31292K7K7 | FEDL HOME | 4/15/2011 | 12/1/2010 | 0 | $1,341.62 | $0.00 | $1,354.20 | ($12.58) | Short |
| '25459HAY1 | DIRECTV HL | 5/4/2011 | 3/16/2011 | 25,000.00 | $25,452.25 | $1.01 | $25,406.73 | $45.52 | Short |

Luminous 0990
11/30/2011

| CUSIP/SEDOL | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|
| '29379VAP8 | ENTERPRISE | 5/4/2011 | 4/14/2011 | 26,000.00 | $27,487.72 | $1.04 | $27,045.11 | $442.61 | Short |
| '31292K7K7 | FEDL HOME | 5/4/2011 | 12/1/2010 | 120,000.00 | $113,786.19 | $0.98 | $118,631.04 | ($4,844.85) | Short |
| '38141EA58 | GOLDMAN SA | 5/4/2011 | 5/3/2011 | 35,000.00 | $36,480.85 | $1.04 | $36,646.37 | ($165.52) | Short |
| '437076AT9 | HOME DEPOT | 5/4/2011 | 9/9/2010 | 35,000.00 | $34,687.10 | $1.00 | $35,201.81 | ($514.71) | Short |
| '87938WAN3 | TELEFONICA | 5/4/2011 | 2/9/2011 | 30,000.00 | $30,629.70 | $0.99 | $29,979.30 | $650.40 | Short |
| '887317AF2 | TIME WARNE | 5/4/2011 | 8/13/2010 | 30,000.00 | $31,281.60 | $1.07 | $32,148.34 | ($866.74) | Short |
| '912828MA5 | UNITED STA | 5/4/2011 | 6/30/2010 | 134,000.00 | $138,470.30 | $1.02 | $137,081.81 | $1,388.49 | Short |
| '912828MA5 | UNITED STA | 5/4/2011 | 5/10/2010 | 16,000.00 | $16,322.67 | $0.99 | $15,840.00 | $482.67 | Short |
| '912828KQ2 | UNITED STA | 5/4/2011 | 5/28/2010 | 29,000.00 | $32,815.10 | $0.99 | $28,723.40 | $4,091.70 | Short |
| '912828FU9 | UNITED STA | 5/4/2011 | 2/15/2011 | 475,000.00 | $483,201.17 | $1.02 | $487,765.15 | ($4,563.98) | Short |
| '31292K7K7 | FEDL HOME | 5/15/2011 | 12/1/2010 | 0 | $1,155.45 | $0.00 | $1,166.28 | ($10.83) | Short |
| '912828MA5 | UNITED STA | 6/14/2011 | 1/31/2011 | 84,000.00 | $87,859.63 | $1.02 | $85,954.53 | $1,905.10 | Short |
| '912828MA5 | UNITED STA | 6/14/2011 | 6/30/2010 | 59,000.00 | $61,597.71 | $1.02 | $60,331.26 | $1,266.45 | Short |
| '31292K7K7 | FEDL HOME | 6/15/2011 | 12/1/2010 | 0 | $709.97 | $0.00 | $716.63 | ($6.66) | Short |
| '437076AT9 | HOME DEPOT | 6/28/2011 | 9/9/2010 | 35,000.00 | $34,660.02 | $1.00 | $35,199.21 | ($539.19) | Short |
| '31292K7K7 | FEDL HOME | 7/15/2011 | 12/1/2010 | 0 | $1,523.69 | $0.00 | $1,537.97 | ($14.28) | Short |
| '3128LCY91 | FEDL HOME | 7/15/2011 | 5/19/2011 | 0 | $9,106.34 | $0.00 | $9,863.30 | ($756.96) | Short |
| '31292K7K7 | FEDL HOME | 8/15/2011 | 12/1/2010 | 0 | $1,176.84 | $0.00 | $1,187.87 | ($11.03) | Short |
| '3128LCY91 | FEDL HOME | 8/15/2011 | 5/19/2011 | 0 | $4,061.20 | $0.00 | $4,398.79 | ($337.59) | Short |
| '3128LCY91 | FEDL HOME | 8/25/2011 | 5/19/2011 | 616,711.00 | $174,829.28 | $0.28 | $175,284.42 | ($455.14) | Short |
| '31292K7K7 | FEDL HOME | 9/15/2011 | 12/1/2010 | 0 | $1,214.49 | $0.00 | $1,225.88 | ($11.39) | Short |
| '31292K7K7 | FEDL HOME | 10/15/2011 | 12/1/2010 | 0 | $2,727.94 | $0.00 | $2,753.51 | ($25.57) | Short |
| '3129413N5 | FEDL HOME | 10/15/2011 | 8/25/2011 | 0 | $5,093.68 | $0.00 | $5,380.20 | ($286.52) | Short |
| '31292K7K7 | FEDL HOME | 11/15/2011 | 12/1/2010 | 0 | $3,823.38 | $0.00 | $3,859.22 | ($35.84) | Short |
| '3129413N5 | FEDL HOME | 11/15/2011 | 8/25/2011 | 0 | $5,796.97 | $0.00 | $6,123.05 | ($326.08) | Short |
| | | | | | $3,841,267.52 | | $3,881,829.44 | ($40,561.92) | |

# Realized Gain/Loss Statement:

## Luminous 9122

Luminous 9122
11/30/2011

| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '406216101 | HAL | HALLIBURTO | 12/10/2010 | 11/18/2008 | 162 | $6,528.72 | $17.78 | $2,881.29 | $3,647.43 | Long |
| '124857202 | CBS | CBS CORP N | 12/13/2010 | 11/18/2008 | 1,661.00 | $29,933.23 | $6.09 | $10,115.49 | $19,817.74 | Long |
| '58933Y105 | MRK | MERCK & CO | 12/21/2010 | 9/21/2009 | 40 | $1,465.47 | $31.90 | $1,276.00 | $189.47 | Long |
| '58933Y105 | MRK | MERCK & CO | 12/21/2010 | 2/27/2009 | 280 | $10,258.31 | $25.08 | $7,024.70 | $3,233.61 | Long |
| '58933Y105 | MRK | MERCK & CO | 12/21/2010 | 12/9/2008 | 165 | $6,045.08 | $26.32 | $4,342.80 | $1,702.28 | Long |
| '620097105 | MMI | MOTOROLA M | 1/13/2011 | 10/20/2008 | 65.0953 | $2,151.68 | $32.05 | $2,086.33 | $65.35 | Long |
| '620097105 | MMI | MOTOROLA M | 1/13/2011 | 11/18/2008 | 498.9046 | $16,490.94 | $13.28 | $6,629.85 | $9,861.09 | Long |
| '494368103 | KMB | KIMBERLY C | 1/21/2011 | 9/21/2009 | 110 | $7,042.44 | $57.41 | $6,315.51 | $726.93 | Long |
| '494368103 | KMB | KIMBERLY C | 2/7/2011 | 9/21/2009 | 391 | $25,358.13 | $57.41 | $22,448.77 | $2,909.36 | Long |
| '501044101 | KR | KROGER CO | 2/23/2011 | 9/25/2009 | 687 | $15,872.81 | $20.55 | $14,117.85 | $1,754.96 | Long |
| '718172109 | PM | PHILIP MOR | 2/25/2011 | 10/23/2008 | 183 | $11,391.70 | $41.03 | $7,508.86 | $3,882.84 | Long |
| '031162100 | AMGN | AMGEN INC | 3/2/2011 | | 119 | $0.00 | ($526.90) | ($526.90) | $526.90 | Long |
| '031162100 | AMGN | AMGEN INC | 3/2/2011 | 11/18/2008 | 119 | $6,144.24 | $56.06 | $6,671.14 | ($526.90) | Long |
| '724479100 | PBI | PITNEY BOW | 3/25/2011 | 11/18/2008 | 138 | $3,462.77 | $23.47 | $3,238.86 | $223.91 | Long |
| '539830109 | LMT | LOCKHEED M | 4/26/2011 | 8/4/2009 | 45 | $3,560.89 | $75.36 | $3,391.23 | $169.66 | Long |
| '539830109 | LMT | LOCKHEED M | 4/26/2011 | 11/18/2008 | 226 | $17,883.57 | $73.10 | $16,520.60 | $1,362.97 | Long |
| '540424108 | L | LOEWS CORP | 4/27/2011 | 11/18/2008 | 377 | $16,274.95 | $26.24 | $9,894.35 | $6,380.60 | Long |
| '620076307 | MSI | MOTOROLA S | 4/28/2011 | 10/20/2008 | 74.4285 | $3,422.97 | $38.31 | $2,851.74 | $571.23 | Long |
| '620076307 | MSI | MOTOROLA S | 4/28/2011 | 11/18/2008 | 282.5714 | $12,995.44 | $15.88 | $4,489.00 | $8,506.44 | Long |
| '724479100 | PBI | PITNEY BOW | 4/28/2011 | 9/21/2009 | 330 | $8,659.11 | $25.47 | $8,405.10 | $254.01 | Long |
| '724479100 | PBI | PITNEY BOW | 4/28/2011 | 11/18/2008 | 60 | $1,574.38 | $23.47 | $1,408.20 | $166.18 | Long |
| '067901108 | ABX | BARRICK GO | 4/29/2011 | 11/18/2008 | 370 | $18,875.94 | $21.55 | $7,974.60 | $10,901.34 | Long |
| '92553P201 | VIAB | VIACOM INC | 5/26/2011 | 11/18/2008 | 339 | $16,954.84 | $15.43 | $5,232.82 | $11,722.02 | Long |
| '501044101 | KR | KROGER CO | 6/21/2011 | 9/25/2009 | 832 | $20,470.06 | $20.55 | $17,097.60 | $3,372.46 | Long |
| '674599105 | OXY | OCCIDENTAL | 6/30/2011 | 4/12/2010 | 189 | $19,667.05 | $86.74 | $16,395.73 | $3,271.32 | Long |
| '539830109 | LMT | LOCKHEED M | 7/8/2011 | 9/21/2009 | 38 | $3,058.94 | $79.65 | $3,026.70 | $32.24 | Long |
| '539830109 | LMT | LOCKHEED M | 7/8/2011 | 9/2/2009 | 58 | $4,668.91 | $75.50 | $4,379.00 | $289.91 | Long |
| '539830109 | LMT | LOCKHEED M | 7/8/2011 | 8/4/2009 | 113 | $9,096.32 | $75.36 | $8,515.77 | $580.55 | Long |
| '724479100 | PBI | PITNEY BOW | 7/21/2011 | 9/21/2009 | 243 | $5,455.82 | $25.47 | $6,189.21 | ($733.39) | Long |
| '620097105 | MMI | MOTOROLA M | 8/15/2011 | 2/1/2010 | 156.9284 | $6,004.62 | $21.30 | $3,343.12 | $2,661.50 | Long |
| '620097105 | MMI | MOTOROLA M | 8/15/2011 | 12/2/2009 | 301.6125 | $11,540.73 | $27.89 | $8,414.30 | $3,126.43 | Long |
| '620097105 | MMI | MOTOROLA M | 8/15/2011 | 9/21/2009 | 122.0693 | $4,670.79 | $29.72 | $3,628.36 | $1,042.43 | Long |

Luminous 9122
11/30/2011

| CUSIP/SEDOL | Symbol | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|---|
| '620097105 | MMI | MOTOROLA M | 8/15/2011 | 11/18/2008 | 501.3895 | $19,184.89 | $13.28 | $6,662.88 | $12,522.01 | Long |
| '539830109 | LMT | LOCKHEED M | 8/17/2011 | 9/21/2009 | 318 | $22,730.36 | $79.65 | $25,328.70 | ($2,598.34) | Long |
| '031162100 | AMGN | AMGEN INC | 10/13/2011 | 12/8/2008 | 119 | $6,792.86 | $57.24 | $6,812.36 | ($19.50) | Long |
| '031162100 | AMGN | AMGEN INC | 10/13/2011 | 4/15/2009 | 220 | $12,558.23 | $47.57 | $10,465.96 | $2,092.27 | Long |
| '031162100 | AMGN | AMGEN INC | 10/13/2011 | 11/18/2008 | 165 | $9,418.67 | $56.06 | $9,249.90 | $168.77 | Long |
| '620076307 | MSI | MOTOROLA S | 10/26/2011 | 11/18/2008 | 302 | $13,863.78 | $15.88 | $4,797.65 | $9,066.13 | Long |
| '031162100 | AMGN | AMGEN INC | 11/7/2011 | 9/21/2009 | 179 | $10,457.28 | $61.87 | $11,075.15 | ($617.87) | Long |
| '031162100 | AMGN | AMGEN INC | 11/7/2011 | 4/15/2009 | 57 | $3,329.97 | $47.57 | $2,711.64 | $618.33 | Long |
| | | | | | | $425,316.89 | | $302,392.22 | $122,924.67 | |
| | | | | | | | | | | |
| '620097105 | MMI | MOTOROLA M | 1/7/2011 | 1/7/2011 | 0 | $24.68 | $0.00 | $0.00 | $24.68 | Short |
| '172967424 | C | CITIGROUP | 5/9/2011 | 5/9/2011 | 0 | $22.01 | $0.00 | $0.00 | $22.01 | Short |
| '620097105 | MMI | MOTOROLA M | 8/15/2011 | 3/14/2011 | 868 | $33,212.66 | $24.63 | $21,383.08 | $11,829.58 | Short |
| '620097105 | MMI | MOTOROLA M | 8/15/2011 | 3/9/2011 | 354 | $13,545.26 | $26.58 | $9,409.87 | $4,135.39 | Short |
| | | | | | | $46,804.61 | | $30,792.95 | $16,011.66 | |

# Realized Gain/Loss Statement:

# Luminous 1032

Luminous 1032
11/30/2011

| CUSIP/SEDOL | Description | Date of Sale | Date Acquired | Quantity | Proceeds | Cost/Share | Cost | Realized Gain/Loss | |
|---|---|---|---|---|---|---|---|---|---|
| '605580QC6 | MISSISSIPP | 12/1/2010 | 10/28/2008 | 150,000.00 | $150,000.00 | $1.00 | $150,000.00 | $0.00 | Long |
| '652234MN2 | NEWPORT NE | 1/18/2011 | 12/4/2008 | 300,000.00 | $300,000.00 | $1.00 | $300,000.00 | $0.00 | Long |
| '3133X8AS1 | FEDERAL HO | 3/21/2011 | 11/5/2008 | 150,000.00 | $167,690.00 | $0.99 | $148,930.00 | $18,760.00 | Long |
| '31331GEJ4 | FEDERAL FA | 3/21/2011 | 11/6/2008 | 150,000.00 | $157,730.00 | $1.00 | $150,122.58 | $7,607.42 | Long |
| '8371473J4 | SOUTH CARO | 3/21/2011 | 12/16/2008 | 150,000.00 | $167,447.00 | $1.03 | $155,372.17 | $12,074.83 | Long |
| '64944QAA5 | NEW YORK C | 3/21/2011 | 1/9/2009 | 150,000.00 | $152,826.50 | $1.00 | $151,076.86 | $1,749.64 | Long |
| '56052APZ3 | MAINE ST G | 5/4/2011 | 10/28/2008 | 150,000.00 | $151,073.00 | $1.00 | $150,304.47 | $768.53 | Long |
| '31331Y4S6 | FEDERAL FA | 5/4/2011 | 10/30/2008 | 150,000.00 | $169,907.00 | $0.98 | $147,139.42 | $22,767.58 | Long |
| '3133XMCL3 | FEDERAL HO | 5/4/2011 | 11/17/2008 | 150,000.00 | $167,518.20 | $0.98 | $147,141.22 | $20,376.98 | Long |
| '31331GEJ4 | FEDERAL FA | 5/4/2011 | 12/3/2008 | 150,000.00 | $157,485.50 | $1.01 | $152,308.85 | $5,176.65 | Long |
| '955686QT0 | WEST ST PA | 5/4/2011 | 12/3/2008 | 150,000.00 | $174,429.50 | $1.00 | $151,377.66 | $23,051.84 | Long |
| '3133XMCL3 | FEDERAL HO | 5/4/2011 | 12/4/2008 | 150,000.00 | $169,833.80 | $1.04 | $157,389.62 | $12,444.18 | Long |
| '419787EC6 | HAWAII ST | 5/4/2011 | 12/4/2008 | 150,000.00 | $172,622.00 | $1.00 | $150,003.66 | $22,618.34 | Long |
| '3133XSNM6 | FEDERAL HO | 5/4/2011 | 12/8/2008 | 300,000.00 | $322,475.00 | $1.02 | $306,330.17 | $16,144.83 | Long |
| '57586C6V2 | MASSACHUSE | 5/4/2011 | 12/12/2008 | 150,000.00 | $167,501.00 | $1.01 | $152,287.27 | $15,213.73 | Long |
| '73358TR78 | PORT AUTH | 5/4/2011 | 12/18/2008 | 100,000.00 | $106,817.00 | $0.98 | $97,169.00 | $9,648.00 | Long |
| '64944QAA5 | NEW YORK C | 5/4/2011 | 1/9/2009 | 150,000.00 | $152,360.00 | $1.00 | $150,893.16 | $1,466.84 | Long |
| '364195BJ5 | GALVESTON | 5/4/2011 | 9/10/2009 | 175,000.00 | $180,800.00 | $1.00 | $175,004.65 | $5,795.35 | Long |
| '797646NJ1 | SAN FRANCI | 5/4/2011 | 3/10/2010 | 100,000.00 | $102,004.00 | $1.00 | $100,000.00 | $2,004.00 | Long |
| '3133XHRK0 | FEDERAL HO | 9/28/2011 | 11/5/2008 | 50,000.00 | $50,401.00 | $1.00 | $50,152.64 | $248.36 | Long |
| | | | | | $3,340,920.50 | | $3,143,003.40 | $197,917.10 | |
| | | | | | | | | | |
| '516228PU1 | LANSE CREU | 3/21/2011 | 4/29/2010 | 120,000.00 | $121,433.60 | $1.00 | $120,003.47 | $1,430.13 | Short |
| '677521DL7 | OHIO STATE | 3/21/2011 | 8/27/2010 | 125,000.00 | $125,031.25 | $1.02 | $128,095.73 | ($3,064.48) | Short |
| '746189QZ5 | PURDUE UNI | 5/4/2011 | 12/2/2010 | 110,000.00 | $109,672.10 | $1.00 | $110,004.67 | ($332.57) | Short |
| '64986AK75 | NEW YORK S | 5/4/2011 | 1/26/2011 | 150,000.00 | $153,384.50 | $1.00 | $151,038.04 | $2,346.46 | Short |
| | | | | | $509,521.45 | | $509,141.91 | $379.54 | |

/ . G4340

COPY

Form **8868**
(Rev. January 2011)
Department of the Treasury
Internal Revenue Service

# Application for Extension of Time To File an Exempt Organization Return

**▶ File a separate application for each return.**

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box . . . ▶ ☐
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form).

**Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868.

**Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time. You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit *www.irs.gov/efile* and click on *e-file for Charities & Nonprofits*.

## Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed)

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only . . . ▶ ☒

*All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns.*

**Type or print**

File by the due date for filing your return See instructions

Name of exempt organization: THE GOLDRICH FAMILY FOUNDATION

**Employer identification number:** 95-4155986

Number, street, and room or suite no. If a P.O. box, see instructions.: 9454 WILSHIRE BLVD, 4TH FLOOR

City, town or post office, state, and ZIP code For a foreign address, see instructions.: BEVERLY HILLS, CA 90212

Enter the Return code for the return that this application is for (file a separate application for each return) 0 7

| **Application Is For** | **Return Code** | **Application Is For** | **Return Code** |
|---|---|---|---|
| Form 990 | 01 | Form 990-T (corporation) | 07 |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 990-EZ | 01 | Form 4720 | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

- The books are in the care of ▶ JONA GOLDRICH C/O GOLDRICH & KEST 5150 OVERLAND AVENUE - CULVER CITY, CA 90230

  Telephone No. ▶ 310-204-2050 FAX No ▶
- If the organization does not have an office or place of business in the United States, check this box ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ If this is for the whole group, check this box ▶ ☐ If it is for part of the group, check this box ▶ ☐ and attach a list with the names and EINs of all members the extension is for.

**1** I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until OCTOBER 15, 2012 , to file the exempt organization return for the organization named above. The extension is for the organization's return for:

▶ ☐ calendar year ______ or

▶ ☒ tax year beginning DEC 1, 2010 , and ending NOV 30, 2011 .

**2** If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

| | | | |
|---|---|---|---|
| **3a** | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions. | 3a | $ 1,631. |
| **b** | If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit | 3b | $ 1,631. |
| **c** | **Balance due.** Subtract line 3b from line 3a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions. | 3c | $ 0. |

**Caution.** If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions.

LHA **For Paperwork Reduction Act Notice, see Instructions.** Form **8868** (Rev. 1-2011)

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01-16-12

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COPY

Form **8868**
(Rev. January 2011)
Department of the Treasury
Internal Revenue Service

# Application for Extension of Time To File an Exempt Organization Return

▶ File a separate application for each return.

OMB No. 1545-1709

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** and check this box ▶ ☒
- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** (on page 2 of this form).

**Do not complete Part II unless** you have already been granted an automatic 3-month extension on a previously filed Form 8868.

**Electronic filing (e-file).** You can electronically file Form 8868 if you need a 3-month automatic extension of time to file (6 months for a corporation required to file Form 990-T), or an additional (not automatic) 3-month extension of time You can electronically file Form 8868 to request an extension of time to file any of the forms listed in Part I or Part II with the exception of Form 8870, Information Return for Transfers Associated With Certain Personal Benefit Contracts, which must be sent to the IRS in paper format (see instructions). For more details on the electronic filing of this form, visit *www irs.gov/efile* and click on *e-file for Charities & Nonprofits*

## Part I Automatic 3-Month Extension of Time. Only submit original (no copies needed).

A corporation required to file Form 990-T and requesting an automatic 6-month extension - check this box and complete Part I only ▶ ☐

*All other corporations (including 1120-C filers), partnerships, REMICs, and trusts must use Form 7004 to request an extension of time to file income tax returns*

**Type or print**

File by the due date for filing your return See instructions

Name of exempt organization: THE GOLDRICH FAMILY FOUNDATION

**Employer identification number:** 95-4155986

Number, street, and room or suite no. If a P O. box, see instructions.: 9454 WILSHIRE BLVD, 4TH FLOOR

City, town or post office, state, and ZIP code. For a foreign address, see instructions.: BEVERLY HILLS, CA 90212

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

| Application Is For | Return Code | Application Is For | Return Code |
|---|---|---|---|
| Form 990 | 01 | Form 990-T (corporation) | 07 |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 990-EZ | 01 | Form 4720 | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

- The books are in the care of ▶ JONA GOLDRICH C/O GOLDRICH & KEST 5150 OVERLAND AVENUE - CULVER CITY, CA 90230

Telephone No.▶ 310-204-2050 FAX No. ▶

- If the organization does not have an office or place of business in the United States, check this box ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ______ . If this is for the whole group, check this box ▶ ☐ . If it is for part of the group, check this box ▶ ☐ and attach a list with the names and EINs of all members the extension is for.

**1** I request an automatic 3-month (6 months for a corporation required to file Form 990-T) extension of time until JULY 15, 2012 , to file the exempt organization return for the organization named above. The extension is for the organization's return for.

▶ ☐ calendar year ______ or

▶ ☒ tax year beginning DEC 1, 2010 , and ending NOV 30, 2011 .

**2** If the tax year entered in line 1 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

| | | | |
|---|---|---|---|
| 3a | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits. See instructions | 3a | $ 70,800. |
| b | If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made. Include any prior year overpayment allowed as a credit | 3b | $ 70,800. |
| c | **Balance due.** Subtract line 3b from line 3a. Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System). See instructions. | 3c | $ 0. |

**Caution.** If you are going to make an electronic fund withdrawal with this Form 8868, see Form 8453-EO and Form 8879-EO for payment instructions

LHA **For Paperwork Reduction Act Notice, see Instructions.**

023841
01-16-12

- If you are filing for an **Additional (Not Automatic) 3-Month Extension, complete only Part II** and check this box ▶ ☒

**Note.** Only complete Part II if you have already been granted an automatic 3-month extension on a previously filed Form 8868.

- If you are filing for an **Automatic 3-Month Extension, complete only Part I** (on page 1).

## Part II Additional (Not Automatic) 3-Month Extension of Time. Only file the original (no copies needed).

**Type or print**

File by the extended due date for filing your return See instructions

Name of exempt organization: THE GOLDRICH FAMILY FOUNDATION

**Employer identification number**: 95-4155986

Number, street, and room or suite no If a P.O box, see instructions: 9454 WILSHIRE BLVD, 4TH FLOOR

City, town or post office, state, and ZIP code. For a foreign address, see instructions: BEVERLY HILLS, CA 90212

Enter the Return code for the return that this application is for (file a separate application for each return) 0 4

| Application Is For | Return Code | Application Is For | Return Code |
|---|---|---|---|
| Form 990 | 01 | | |
| Form 990-BL | 02 | Form 1041-A | 08 |
| Form 990 EZ | 01 | Form 4720 | 09 |
| Form 990-PF | 04 | Form 5227 | 10 |
| Form 990-T (sec. 401(a) or 408(a) trust) | 05 | Form 6069 | 11 |
| Form 990-T (trust other than above) | 06 | Form 8870 | 12 |

**STOP! Do not complete Part II if you were not already granted an automatic 3-month extension on a previously filed Form 8868.**

- The books are in the care of ▶ JONA GOLDRICH C/O GOLDRICH & KEST 5150 OVERLAND AVENUE - CULVER CITY, CA 90230

Telephone No. ▶ 310-204-2050 FAX No. ▶

- If the organization does not have an office or place of business in the United States, check this box ▶ ☐
- If this is for a Group Return, enter the organization's four digit Group Exemption Number (GEN) ________ . If this is for the whole group, check this box ▶ ☐ If it is for part of the group, check this box ▶ ☐ and attach a list with the names and EINs of all members the extension is for.

4 I request an additional 3-month extension of time until OCTOBER 15, 2012

5 For calendar year _______ , or other tax year beginning DEC 1, 2010 , and ending NOV 30, 2011

6 If the tax year entered in line 5 is for less than 12 months, check reason: ☐ Initial return ☐ Final return ☐ Change in accounting period

7 State in detail why you need the extension

ADDITIONAL TIME IS NEEDED TO OBTAIN THE NECESSARY INFORMATION TO FILE A COMPLETE AND ACCURATE TAX RETURN.

| | | | |
|---|---|---|---|
| 8a | If this application is for Form 990-BL, 990-PF, 990-T, 4720, or 6069, enter the tentative tax, less any nonrefundable credits See instructions | 8a | $ 70,800. |
| b | If this application is for Form 990-PF, 990-T, 4720, or 6069, enter any refundable credits and estimated tax payments made Include any prior year overpayment allowed as a credit and any amount paid previously with Form 8868. | 8b | $ 70,800. |
| c | **Balance due.** Subtract line 8b from line 8a Include your payment with this form, if required, by using EFTPS (Electronic Federal Tax Payment System) See instructions. | 8c | $ 0. |

## Signature and Verification

Under penalties of perjury, I declare that I have examined this form, including accompanying schedules and statements, and to the best of my knowledge and belief, it is true, correct, and complete, and that I am authorized to prepare this form.

Signature ▶ Title ▶ CPA Date ▶ 7/12/12